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ABSTRACT

This report presents recommendations for performance indicators for Part B of the Individuals with Disabilities Education Act (IDEA), with emphasis on indicators reflecting the needs of the Education Department. Themes of the indicators include more attention given to "context variables" such as low birth-weight infants and drug abuse among women; high priority given to performance indicators highlighting results of state compliance monitoring; and development of arrays to display data on key indicators for periods of 5 to 10 years. After an introductory section, individual sections of the report provide information on the background of IDEA development, implementation, and monitoring by the Office of Special Education Programs; issues affecting special education program performance indicators, especially legislative goals and requirements; processes of developing indicators for special education programs under IDEA, Part B; suggested performance indicators for special education programs (organized into context variables, input indicators, process indicators, and outcome indicators); and uses of performance indicators. An appendix lists all the recommended indicators and includes a brief discussion of each one and suggested data sources. A second appendix does the same for context variables. A third appendix lists literature reviews, data sources, individuals interviewed, and participants in a stakeholders' meeting. (Contains an annotated bibliography of 26 items and a listing of 16 data sources.) (DB)

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ED 391 339

NAPA

# PERFORMANCE INDICATORS

## FOR SPECIAL EDUCATION PROGRAMS UNDER INDIVIDUALS WITH DISABILITIES EDUCATION ACT PART B

For the
U.S. DEPARTMENT OF EDUCATION

EC304588



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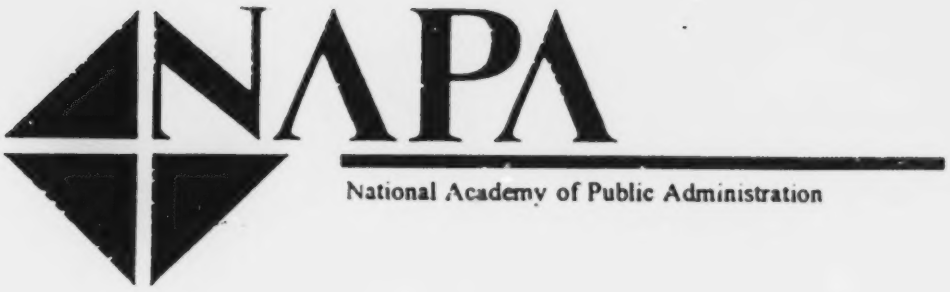


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# PERFORMANCE INDICATORS
## FOR SPECIAL EDUCATION PROGRAMS UNDER INDIVIDUALS WITH DISABILITIES EDUCATION ACT PART B

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A Report by a Panel of the
**NATIONAL ACADEMY OF PUBLIC ADMINISTRATION**


Joseph S. Wholey, Chairman
Gerald Barkdohl
Robert W. Covert
David Cordray
Barbara Gross Davis
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**For the**
**U.S. DEPARTMENT OF EDUCATION**

October 1993


Submitted for the Office of Policy and Planning Contract #LC92119001

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"There is something very sad in the disparity between our passion for figures and our ability to make use of them once they are in our hands."

Moroney, M.J., 1951

"The National Academy of Public Administration strongly recommends that units of government at all levels make a concerted effort to encourage agency heads and program managers to monitor program quality and outcomes as part of an overall system aimed at improving the performance and credibility of major public programs."

From resolution adopted by the
National Academy of Public Administration
November 8, 1991

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## EXECUTIVE SUMMARY

This report includes recommendations for performance indicators for Part B of the Individuals with Disabilities Education Act (IDEA), which establishes federal requirements and provides financial support to states for the education of children with disabilities. The report was prepared under a contract with the National Academy of Public Administration (NAPA) to help the Department of Education meet the need for greater accountability for the use of federal funds, improved program management, and better methods of measurement.

The first major federal legislation dealing with the educational needs of children with disabilities was the Elementary and Secondary Education Act of 1965. Federal involvement intensified further in the early 1970's following several federal court decisions affirming the rights of children with disabilities to a free appropriate public education. In 1975 Congress enacted the landmark Education for All Handicapped Children Act (P.L. 94-142). The Act, which included extensive revision to the Assistance to States Program under Part B of the EHA, established specific federal requirements for States to adopt in order to ensure children with disabilities access to public education, provided financial assistance to help defray the additional cost of educating the disabled, and assigned the Department of Health, Education and Welfare the responsibility for monitoring state compliance. The court decisions regarding the specific rights of children with disabilities and the highly prescriptive legislation governing the role and responsibilities of states continues to distinguish P.L. 94-142 from many other types of federal education assistance.

In the two decades since the enactment of P.L. 94-142 amendments to the EHA, profound changes have taken place in meeting the needs of children with disabilities. The number of children served and the relative share of federal, state and local education budgets allocated to the disabled have far out paced the increases of the general school population. Improved techniques for identifying disabilities, better informed parents, the expansion of the types and scope of disabilities covered, strong interest group involvement, and the impact of national health conditions have been important influences.

The first annual report to Congress on P.L. 94-142 covering school year 1977-78 listed 3.8 million children served; for school year 1990-91 the total had grown to 4.8 million or about 10% of total children enrolled in K-12. The cost of educating children with disabilities rose to about $19.2 billion in school year 1988-89 with state and local financing covering about 92% of the total costs. Federal financing is concentrated largely on Part B of IDEA which provides each state with approximately 7% of the average "additional" cost of educating children with disabilities. (Although 40% is authorized in the legislation, funding is not available to provide this level of support.) Federal funding to a state is determined each year based on the number of children identified and receiving services on December 1. This amounted to about $1.9 billion in FY 1991 federal expenditures or $407 per child.

The role of the state is central to the Part B program implementation process. Based on federal legislation and regulations, each state must undertake the following key functions:

- Establish state policies to ensure the right to a free appropriate public education to all children with disabilities who are eligible under one or more thirteen categories of disability.

- Ensure that children with disabilities are educated in the least restrictive environment.

- Establish due process and procedural safeguards to protect the rights of children with disabilities and their parents/guardians.

- Ensure that an Individualized Education Program (IEP) is developed and implemented for each child with disabilities.

- Review and approve applications for funds from intermediate and local educational agencies serving children with disabilities.

- Receive and resolve individual complaints regarding alleged violations of federal statutes and requirements.

At the federal level, the Department of Education (ED) is responsible for Part B including issuing program regulations, approving release of funds to states, and monitoring state compliance. In addition, ED provides funding for and coordinates the delivery of multi-state training, technical assistance, information exchange, special studies and evaluations funded under Part B and other sections of IDEA. The Office of Special Education Program (OSEP) is specifically responsible for these activities supported by a staff of approximately 135 (FTE). The Division of Assistance to States focuses primarily on monitoring state compliance with Part B requirements and includes five full-time monitoring teams staffed by a total of 25 professionals. OSEP is located organizationally under the Assistant Secretary of Education for Special Education and Rehabilitative Services (OSERS). OSERS also includes the Rehabilitation Services Administration and the National Institute on Disability and Rehabilitation Research. OSERS provides a continuum of federally supported services to the disabled from early childhood through adulthood.

In starting the review of Part B, the NAPA team found that OSEP had already made significant progress in developing performance indicators. The annual reporting by states provides a wealth of valuable data. Much of this information is presented in the annual report to Congress including extensive tables presenting state breakdowns of children served, ages, disability status, placement and other information. The report is also widely distributed to the public and to many interest groups concerned with issues and programs affecting the disabled. The role of interest groups is particularly important since the legislation requires consultation with such groups in developing policy and practice concerning Part B.

In recommending specific indicators, the NAPA team sought to provide a balanced set of key performance indicators focused primarily on the needs of ED and suggested several themes:

- More attention was given to "context variables" such as low birth weight infants and drug abuse among women of child bearing age which correlate with the incidence of disability in children. These variables can serve as variable indicators for longer range strategic planning.

- A high priority was assigned to performance indicators highlighting the results of state compliance monitoring, particularly with data regarding the frequency of compliance problems and progress over time.

- Much of the data collected from individual states is aggregated nationally and reported in tables, such as the percentage of children served in regular classrooms. One major recommendation is to give more emphasis to arraying data on several key performance indicators for individual states covering a longer period such as five to ten years. This would show progress toward program goals within a state context and the presentation should include narrative information provided by the state about specific policies and conditions to clarify important issues, trends and practices of concern to ED policy officials and the Congress.

- Other performance indicators on academic achievement, literacy and school exiting outcomes for children with disabilities are included since they are of major importance at the federal, state, and local levels. Most of the specific academic and school exiting performance indicators are included in a model developed by the National Center on Educational Outcomes. Some data can be obtained from existing national data sources which include children with disabilities but most of the required data must come from special surveys and longitudinal studies such as one recently completed on school exiting outcomes for 13 through 21 year old children with disabilities.

This report coupled with the progress already being made by OSEP to strengthen program accountability should offer new opportunities in meeting the requirements of the Government Performance and Results Act of 1993 and other initiatives to improve ED program management systems.

# I. INTRODUCTION

This document includes recommendations for performance indicators for Part B of the Individuals with Disabilities Education Act (IDEA), the cornerstone of federal legislation concerning regulation and funding of educational services for children with disabilities. Performance indicators are defined as "signal flags" which provide useful information about the status and progress of a program or activity in terms of its objectives. The report includes descriptions of the program's background, processes used in developing the suggested performance indicators, a core set of performance indicators for Part B administration, and suggestions about how they can be used to monitor and improve program performance. The report is intended to stimulate further discussion and collaboration among U. S. Department of Education (ED) staff members, interest groups, and state and local educational agencies in designing program performance indicators.

This report is the final report in a series of five which include recommendations for performance indicators for selected ED programs, under a contract with the National Academy of Public Administration (NAPA). NAPA is a non-partisan, non-profit organization chartered by Congress, established to improve the effectiveness of government at all levels. This contract with NAPA is a pilot effort in developing performance indicators to help the department focus more effectively on greater accountability for the use of federal funds, improved program management, and better methods of measurement.

At all levels of government there is a growing demand for public officials to demonstrate greater *accountability* for the use of public funds. Beyond the traditional requirement for demonstration of compliance with legal obligations to protect citizens' rights and avoid waste, fraud, and abuse of federal funds, these demands include accounting for effective program performance. Accountability embraces the need for more rigorous examination of the outcomes of government funding and regulation and re-alignment of management practices. Calls to "re-invent" government, which have struck a receptive chord with many policy-makers and citizens, include greater emphasis on accountability.

The introduction of strategic planning in U.S. education systems has created a demand for new approaches to planning and more extensive management information systems within ED. This demand for more and better information has led to a growing interest in the use of performance indicators as a *management* tool to help public administrators better focus on articulating and achieving program goals. The Chief Financial Officers Act of 1990 requires agencies to develop plans and reports which include indicators of financial and program performance. The Governmental Accounting Standards Board has also published recommendations for improved reporting of accomplishments.[1] Interest in performance indicators has accelerated in response to Vice President Gore's National Performance Review

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[1] See Hatry, H.P., Fountain, J.R. Sullivan, J.M. and Kremer, L. *Service Efforts and Accomplishments Reporting: Its Time Has Come*. Norwalk, CT: Governmental Accounting Statistical Board, 1990

Recently, Congress passed legislation to apply performance measurement as part of strategic planning throughout the federal government.[2]

Key to using data in program management is better methods of *measurement*. Statistics about the functioning of education systems have been collected for years as a generic tool for planning and program management. In addition to questions of quality and access to services, more questions are being raised concerning "How much change has occurred?" and "Which programs are the most effective?" At the same time, questions are being raised about the role and ultimate effect of new methods of measurement in shaping the education system.[3] As a consequence, there has been a search for more sophisticated assessment tools to measure educational processes and outcomes, using both qualitative and quantitative methods. Fair and valid comparisons within and between education programs and systems can provide performance indicators to benefit policy makers, managers, and consumers in their efforts to achieve better educational outcomes.

The Department of Education is an important part of recent efforts to develop and use performance indicators for managing federal programs and communicating with policy makers and the public. The contract with NAPA is part of a broader effort within ED to bring together data producers and data users to develop more useful performance indicators.

The rising number of children with disabilities in American schools has sparked national concern, and a call for decisive local, state, and federal action to address the causes and effects of disabilities.[4] Despite federal requirements for free appropriate public education for all students, state requirements for educating children with disabilities vary widely, and systemic change is being advocated. Significant research into special education methods which best address the needs of these children, and development of better methods to assess outcomes of programs for them are likely to change perceptions of special education.

The current NAPA project should be seen as a generic tool contributing to the further development of a system of performance indicators for Part B. The work in designing indicators has value beyond the administration of IDEA, Part B. The model for designing indicators described in this report combines the practicalities of program structure, client characteristics, and data needs and availability with the principles of strategic planning, and monitoring progress toward broad legislative goals for the nation. This work can become a model for future work on other education assistance regulatory programs designed to ensure access and increase educational effectiveness.

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2 The Government Performance and Results Bill (P. L. 103-62), also known as the Roth Bill, was signed into law August 3, 1993.

3 Madaus, G. F. and Tan, G. A. "The Growth of Assessment" , in *Challenges and Achievements of American Education*, (G. Cawalti, Ed.). Alexandria, VA: Association for Supervision and Curriculum Development, 1993.

4 National Association of State Directors of Special Education, Inc. "NASDSE Statement to the House Select Committee on Narcotics Abuse and Control", *Liaison Bulletin 18(2)*, January 1992.

## II. PROGRAM BACKGROUND

Under Part B of the Individuals with Disabilities Education Act, ED serves the dual purposes of: 1) providing formula grant funding to states to be used to help defray costs of special education for children with disabilities; and 2) monitoring to assure that states properly supervise local educational agencies and intermediate educational units (LEAs and IEUs) in providing that service. An important characteristic of the Part B program, is that, although the rights of individual children with disabilities to be educated are guaranteed under the federal law, Congress has assigned the responsibility for defining standards and supervising LEA and IEU activity to the states. States are assigned the responsibility of disbursing federal funds to the LEAs and IEUs. The federal government acts to see that the states properly carry out their obligations under IDEA through approval of state plans, state reporting, and on-site monitoring by state and federal staffs.

Although education is primarily the responsibility of the states, ensuring access of all students to educational opportunities is clearly in the national interest. Since the 1960s, the federal government has given special consideration to fostering educational services to those who have been historically unserved or underserved, including those with disabilities. In its monitoring role, as well as by providing funding, ED has a need for data and benchmarks for describing state, LEA, and IEU progress in serving children with disabilities as demonstrated by their plans and practices and by student participation and achievement.

### History and Legislative Purpose

Although efforts have been made to provide public education to students with disabilities in the United States since the 1800s, significant federal efforts to ensure access by students with disabilities were not made until the 1960s. Title 1 of the Elementary and Secondary Education Act of 1965 (P. L. 89-10) provided funding for supplementary services to meet the needs of educationally disadvantaged children, including the disabled. Court cases in the 1970s established the right of students with disabilities to free appropriate public education in the least restrictive environment.[5] In 1975, Congress passed the Education for All Handicapped Children Act (EHA) (P. L. 94-142), now titled the Individuals with Disabilities Education Act (IDEA).

The Elementary and Secondary Education Act of 1965, now Chapter 1 provides support for children and youth with disabilities in programs operated or supported by state agencies. Less than 4% of children with disabilities are served under Chapter 1. The remaining 98% of children ages 3-21 are served under Part B. Both programs are administered by OSEP. In the past decade there have been several proposals submitted to Congress to merge the two programs but, to date, no action has been taken.

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5 Pennsylvania Association for Retarded Children v. Commonwealth, 334 F. Supp. 1257 (E. D. Pa. 1971), 343 F. Supp. 279 (E. D. Pa. 1972), and Mills v. Board of Education of District of Columbia, 348 F. Supp. 866, 1972).

standards for educating students with disabilities, but includes several concepts which govern those standards. All students with disabilities are guaranteed "a free appropriate public education" which emphasizes special education and related services to meet their unique needs. Categories of disability are included in the legislation. The "appropriateness" of students' education is to be assured by individualized education programs (IEPs) written with the input of parents, teachers, and special education experts.

Federal regulations provide procedural safeguards such as the opportunity to review records, the right to an independent educational evaluation, the right to notice regarding agency special education proposals and refusals, and the right to request a due process hearing. Federal regulations require due process hearings for children with disabilities and require that the protection of legal proceedings, such as the right to witnesses, apply when changes in placement are being considered.

The legislation also includes the role of the federal government "to assist states and localities to provide for the education of all children with disabilities and to assess and assure the effectiveness of efforts to educate children with disabilities." Under Part B, ED provides funds to the states and monitors state efforts to assure compliance by local educational agencies (LEAs).

EXHIBIT 1: LEGISLATIVE TERMS RELATED TO IDEA, PART B

**Children with disabilities** include children who are mentally retarded, hearing impaired, including deaf, visually impaired, including blind, seriously emotionally disturbed, orthopedically impaired, autistic, suffering from traumatic brain injury, deaf-blind, learning disabled, or have other health impairments or multiple disabilities. In addition, three to five year olds with developmental delays can be served under this legislation.

**Free Appropriate Public Education** (FAPE) means special education and related services which meets state standards and are provided under public supervision, at public expense in appropriate preschools, elementary schools, or secondary schools, in conformity to an Individualized Education Program.

**Individualized Education Programs** (IEPs) are written statements for children with disabilities that are developed at meetings which include the student's teacher and parents, and a representative of the LEA qualified to supervise or provide special education, and other individuals at the discretion of the agency. The statements must include the student's present level of achievement, annual educational goals and short term objectives, specific educational services to be offered and the student's expected level of participation in regular programs, the date of expected plan initiation and specific criteria for determining if goals are being met. In addition, plans for transition from school to post-school activities must be included.

**Least Restrictive Environment** (LRE) is defined as educating a child with disabilities, to the maximum extent appropriate, with children who are not disabled and ensuring that removal to special classes or schools occurs only when the nature or severity of the disability is such that education in regular classes with the use of supplementary aids and services cannot be achieved.

**Due Process Hearing Procedures** include the rights of parents, children, and public agencies to hearings, representation or counsel, appeal, presenting witnesses and evidence, and questioning witnesses, and bringing suit in civil court on issues concerning a public agency proposal or refusal to initiate or change the identification, evaluation, or placement of a child in FAPE.

Part B is the cornerstone of legislative provisions for special educational and related services for children with disabilities. In Part B, Congress stipulates states' responsibilities of establishing policies, plans, and priorities for educational services to students with disabilities. The Supreme Court has ruled that "Congress' intention was not that the Act displace primacy of the States in the field of education, but the States receive funds to assist them in extending their educational systems to the handicapped."[6] States carry out their responsibilities under Part B by supervising LEA and IEU activities in this area, and providing services where appropriate. The federal role is to certify states' compliance with federal requirements pertaining to the education of children with disabilities, monitor states' supervision of LEAs and IEUs, and provide funding to assist in meeting the additional costs associated with educating the disabled.

Amendments to IDEA in 1991 focused on growing concern for early intervention programs without labeling preschool children as disabled. These amendments provide funds to encourage states to provide services for three to five year olds. These amendments also allow special education services for three to five year old children with developmental delays.

In addition to funding and monitoring of state programs, Part B provides some federal assistance for research and technical assistance. Early research efforts focused on state capabilities in data collection and special service delivery, funding issues, and defining the consequences of various state programs. In 1983, Congress mandated a National Longitudinal Transition Study of Special Education Students age 13 to 21 who leave school by graduation or under other conditions. Data collection for this study began in 1987 and the first comprehensive report was published in September 1991. More recent studies concern special populations, transition planning, mainstreaming, student outcome indicators, and early childhood programs.

Legislation also provides support to the states through a regional network of six resource centers which serve between seven and 14 states each. There is also a federal resource center to help coordinate efforts among regional centers and to support federal initiatives and analysis of national issues and trends in special education.

Funding to SEAs through Part B is provided annually based on a formula using the number of students with disabilities in a state multiplied by a percentage of the national average additional cost of providing education to elementary and secondary level students with disabilities. (Although 40% is authorized in the legislation, sufficient funds are not appropriated to provide this level of funding.) SEAs must pass on at least 75% of the funds received under Part B to LEAs and IEUs based on their calculations of actual costs of providing special education. Both the number of students served and the per student costs of special education have increased dramatically since FY 1977. Students served increased from 3.8 million in FY 1977-1978 to 4.8 million in FY 1990-1991. Federal grants to states increased from $252 million in FY 1977 to $1.9 billion in FY 1991, as demonstrated in Exhibit 2.

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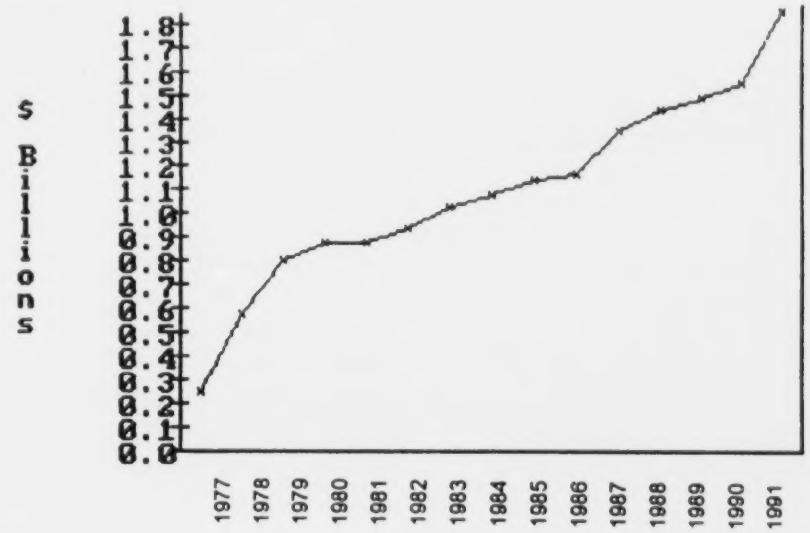
[6] Hendrick Hudson District Board of Education v. Rowley, 458 U. S. 176, 102 S. Ct. 3034, (1982)

EXHIBIT 2: IDEA, PART B, STATE GRANT FUNDING, FY 1977-1991




| Fiscal Year | IDEA, Part B State Grants | Per-Child Allocation | Fiscal Year | IDEA, Part B State Grants | Per-Child Allocation |
|---|---|---|---|---|---|
| 1977 | $ 251,770,000 | $ 72 | 1984 | 1,068,875,000 | 261 |
| 1978 | 566,030,000 | 159 | 1985 | 1,135,145,000 | 275 |
| 1979 | 804,000,000 | 217 | 1986 | 1,163,282,000 | 282 |
| 1980 | 874,500,000 | 230 | 1987 | 1,338,000,000 | 321 |
| 1981 | 874,500,000 | 222 | 1988 | 1,431,737,000 | 338 |
| 1982 | 931,008,000 | 233 | 1989 | 1,475,449,000 | 340 |
| 1983 | 1,017,900,000 | 251 | 1990 | 1,542,610,000 | 350 |
| | | | 1991 | 1,854,186,000 | 407 |

DATA SOURCE: U. S. Department of Education. 1992. *To Assure the Free Appropriate Public Education of All Children with Disabilities*. Washington, D. C., p 142.

## Program Components and Functions

Within the Department of Education, the Office of Special Education Programs (OSEP) is located under the Assistant Secretary for Special Education and Rehabilitative Services. OSEP is responsible for the administration of Part B programs as well as for the Chapter 1 program of the Elementary and Secondary Education Act, for children with disabilities in state operated or supported programs. OSEP's current mission statement is to "support and enable the nation's efforts to provide the educational experience necessary for children with disabilities to achieve

better results."

Strategic targets related to this mission are:

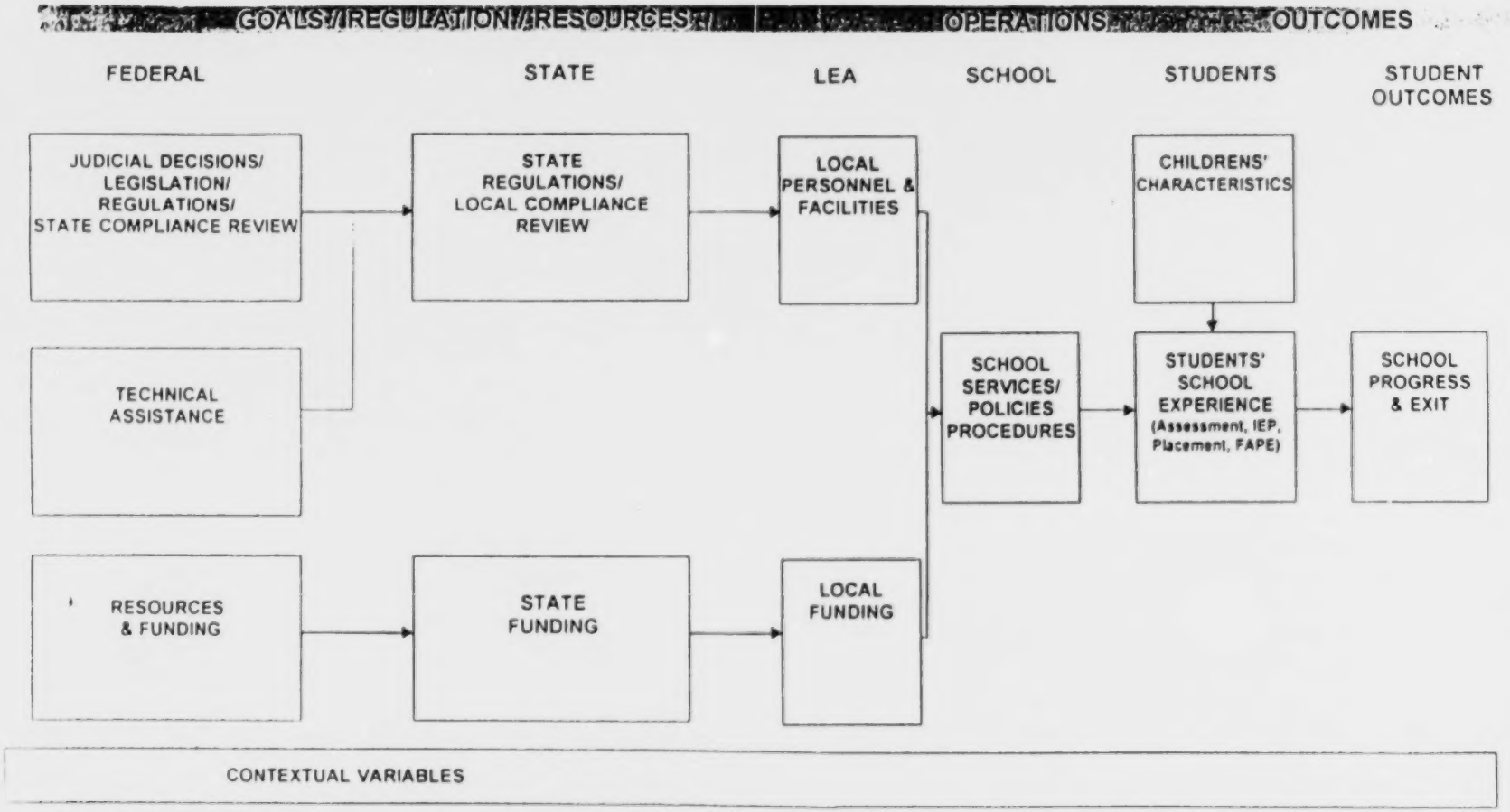
- To provide and maintain an adequate number of qualified personnel;
- To provide the capacity to ready systems to meet the needs of changing populations;
- To secure and expand access and inclusion for children with disabilities; and
- To identify measures and improve outcomes for individuals with disabilities.

Monitoring and technical assistance to states and teacher training efforts are important processes involved in working toward these targets. addition, OSEP-funded National Center on Educational Outcomes is developing a list of outcome indicators for students with disabilities.

The Office of Special Education Programs which administers Part B and other sections of IDEA has approximately 135 staff (FTE). The largest single unit, the Division of Assistance to States, has approximately 42 staff members, of which 25 are devoted to compliance functions. Although the number of students served increased from approximately 3.8 million in 1977 to approximately 4.8 million in 1991, OSEP (formerly Bureau of Education of the Handicapped) staff decreased from approximately 200 (FTE) to 135 (FTE) in the same period.

Exhibit 3 displays a logic model of the administration of the program from OSEP through states and LEAs to students.

EXHIBIT 3: PROGRAM LOGIC MODEL -- FEDERAL PERSPECTIVE

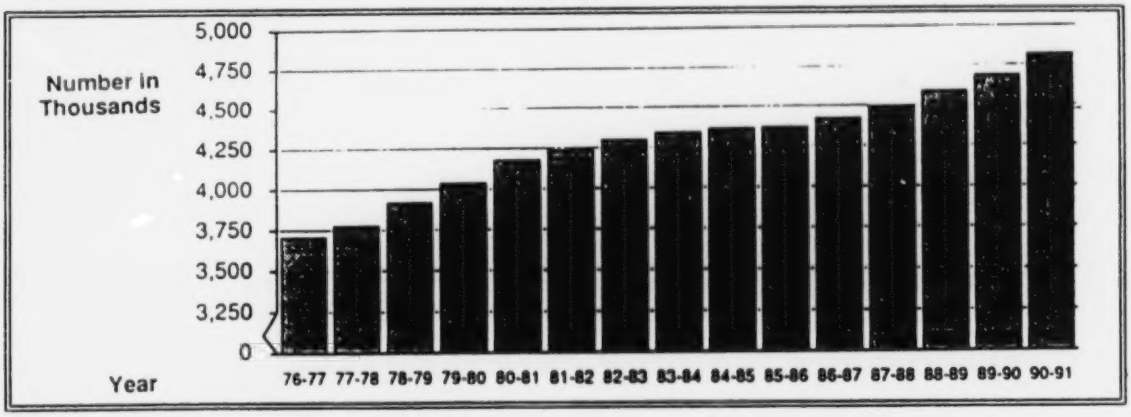


**Students and Parents.** The 1972 federal court case (Mills, 384F. Supp 866) requiring all school districts to provide a free appropriate public education for children with disabilities led to increased efforts to identify and evaluate such children. Identification methods and disability research have improved rapidly since that time. This is an important factor the increasing percentage of children classified as disabled.

As of the 1990-1991 school year, 4,817,503 children with disabilities from birth through age 21 were being served under Part B and Chapter 1 of ESEA. As a percentage of the resident population, from birth through 21, children with disabilities represented 7.1%. By comparison in 1976-1977 in the early stages of the program, children with disabilities represented only 4.8% of the same population groups.

Exhibit 4 presents the increase in the number of students served under Part B since 1976.

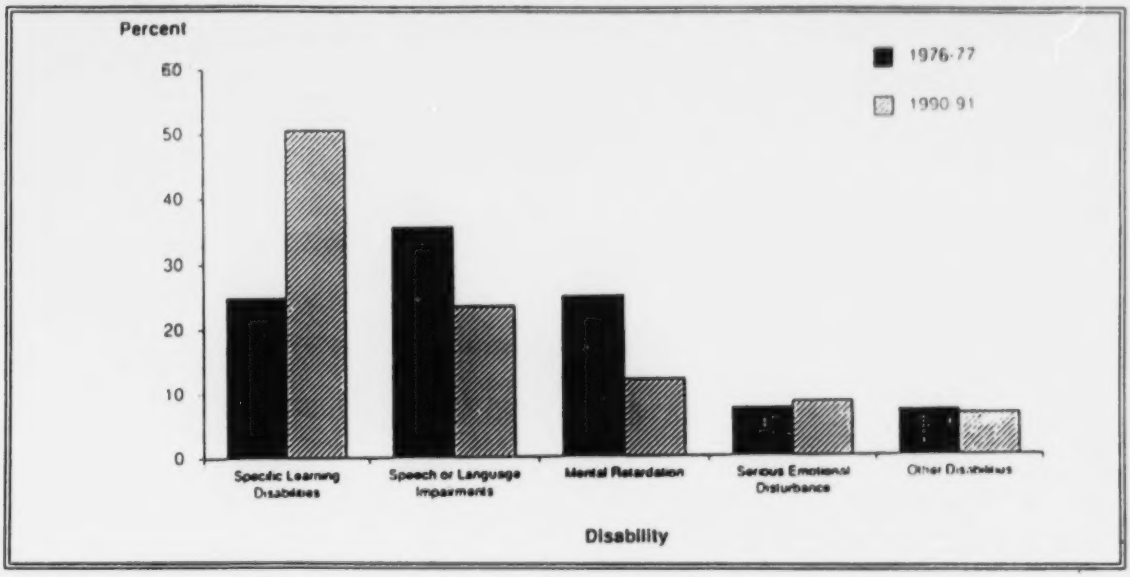
EXHIBIT 4: INCREASE IN THE NUMBER OF STUDENTS SERVED UNDER PART B, 1976-1991




DATA SOURCE: U. S. Department of Education, 1992, *To Assure the Free Appropriate Education of Children With Disabilities*. Washington, D. C.

Student characteristics are among the most important factors in defining the resources needed for their education, activities which will promote their growth, and the ultimate outcomes of their educational experiences. Children with disabilities are described for reporting purposes by type of disability. Federal law recognizes thirteen categories of disability listed in Exhibit 1, plus developmentally delayed three to five year olds. The largest category in this group, children with specific learning disabilities, such as dyslexia, represent about half of this group, while about a quarter of special education students have speech or language impairments. Visually, hearing, and orthopedically impaired students, and those with multiple disabilities represent only about 8% of the special education students. This represents a marked difference in disability categories since the 1976-77 school year. Exhibit 5 presents the change in distribution of special education students ages 6-21.

EXHIBIT 5: CHANGES IN THE DISTRIBUTION OF STUDENTS BY DISABILITY




SOURCE: Department of Education, 1992. *To Assure the Free Appropriate Public Education of Children With Disabilities*. Washington, D. C., p. 9.

Debate is common about the validity of evaluation procedures and student placement. Significant research is being carried out on the demographic characteristics of special education students. A disproportionate number of special education students are male, minority, and poor. Hypotheses about reasons for this include biased evaluation instruments, health factors affected by poverty, educational factors affected by parents' education, and other concerns. It is likely that research efforts in this area will continue for many years as our understanding of the causes and effects of disability improves.

Children with disabilities are represented by a wide variety of national and local advocacy groups. OSEP has public hearings and communicates with experts in the field of special education on issues of importance. OSEP has regular meetings with State Directors of Special Education and with representatives of advocacy groups representing children and adults with disabilities.

IDEA makes specific reference to the need for states to establish procedures for consultation with "individuals involved in or concerned with the education of children with disabilities," and for an opportunity for public comment prior to "the adoption of the policies, programs and procedures" on the state plans required under Part B.

Both parents and students are entitled to participate in designing the students' Individual Educational Programs (IEPs). Legislation specifically provides that student and parent rights be

protected by due process such as the right to present evidence, to be represented by counsel, to question witnesses, and appeal decisions concerning referrals, initiated IEP changes, terminations, and placement in educational facilities in accord with FAPE. Parents participate annually in IEP redesign and in preparing the transitional plan for students nearing school completion.

**Local Educational Agencies (LEAs) and Intermediate Educational Units (IEUs).** LEAs and IEUs are the primary providers of educational services. (IEUs are educational entities which support several school districts. They are most common in areas with small school districts.)

The LEA or SEA is responsible for having a qualified person, other than the students' teachers, present at all IEP meetings. Part B requires that IEPs contain information on students' evaluations, educational status, annual goals, short-term objectives, placement in LRE, and methods by which progress will be determined. For older students, IEPs must include plans for transition from school to work. IEP requirements are not to be limited by availability of resources. Requirements must be strictly dictated by the needs of the child. LEAs are responsible to provide the resources and personnel so that local schools can carry out the provisions of the IEPs.

Under Part B, LEAs and IEUs must adopt state policies and procedures or develop policies and procedures for ensuring a free appropriate public education in the least restrictive environment and for protecting student and parent rights. Information on these policies and procedures, along with funding requests based on actual costs of special education are included on LEA and IEU applications submitted to the particular state for Part B funding.

**State Educational Agencies (SEAs).** "In order to qualify for funding under Part B, a state must demonstrate to the Secretary of Education that it has:

(1) a policy that assures all children with disabilities the right to a free appropriate public education;

(2) a plan, policies and procedures for providing special education and related services that conform to the specifications of the Act;

(3) established priorities for providing services which give top priority to meeting the needs of unserved children with disabilities and second priority to improving the services to underserved children with the most severe disabilities;

(4) a policy that requires local educational agencies to maintain an individualized education program on each child with a disability;

(5) established safeguards and procedures for integrating children with disabilities into regular classrooms to the maximum extent appropriate, and procedures for racial and

cultural non-discriminatory testing and evaluation;

(6) assigned to the state educational agency the responsibility for carrying out provisions of Part B, including general supervision of special education programs administered by other state or local agencies; and

(7) consulted with persons concerned with the education of children with disabilities, and held public hearings to obtain input prior to adopting policies, programs, and procedures."[7]

In carrying out these obligations, the states are directed by Congress to implement federal requirements governing education for children with disabilities. States must submit complex and detailed plans every three years which meet the numerous requirements in Part B. They must also monitor LEAs and IEUs and enforce federal regulations, gather required data, and approve LEA and IEU annual funding applications.

SEAs set standards and goals for students and LEAs. In addition, the definition of specific disabilities, appropriate educational strategies, and determination of least restrictive environment are critical elements in designing the program and are assigned specifically to the states. All states must ensure that a continuum of environments, as listed in Exhibit 6, is available. However, there is a wide variation among states in the proportion of students in the various types of environments as shown in Exhibit 6.

EXHIBIT 6: PERCENTAGE OF STUDENTS AGE (6-21) BY EDUCATIONAL ENVIRONMENT, BY DISABILITY, 1989-1990

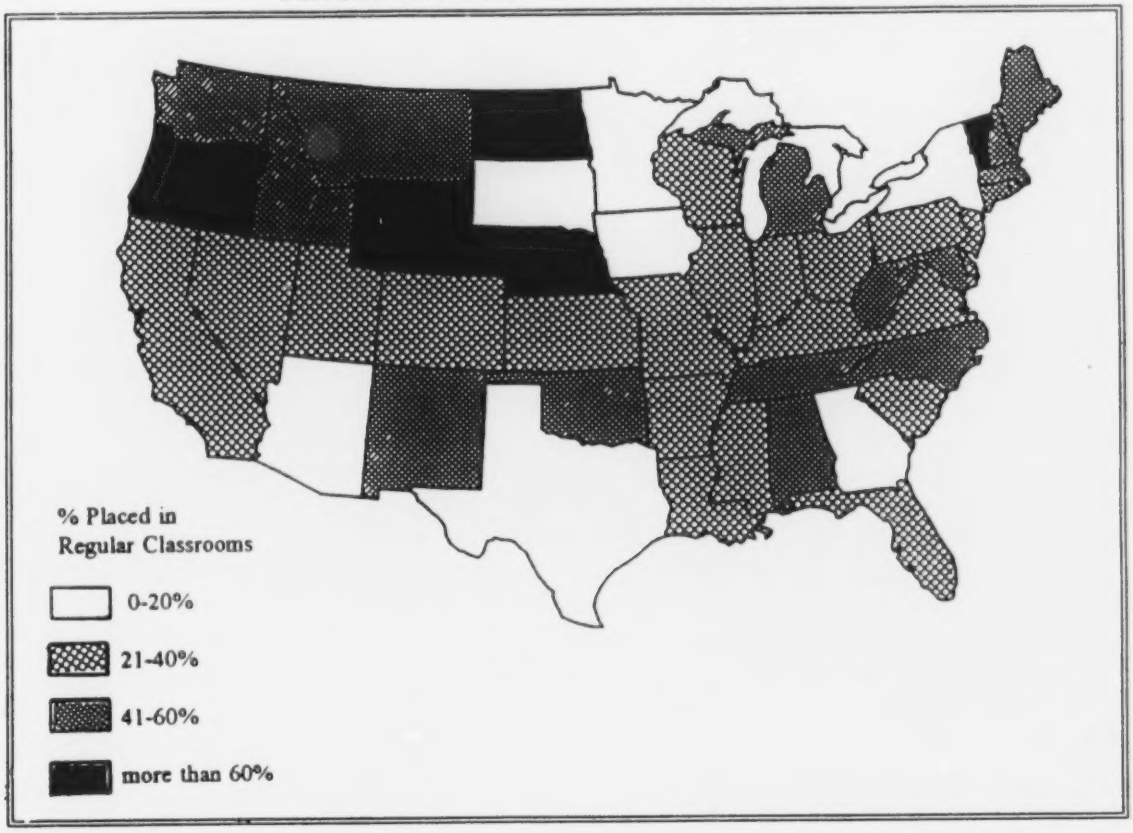
| | Educational Environments | | | | | |
|---|---|---|---|---|---|---|
| Disability | Regular Class | Resource Room | Separate Class | Separate School | Residential Facility | Homebound/ Hospital |
| Specific learning disabilities | 20.7% | 56.1% | 21.7% | 1.3% | 0.1% | 0.1% |
| Speech or language impairments | 76.8 | 17.7 | 3.8 | 1.5 | 0.1 | 0.1 |
| Mental retardation | 6.7 | 20.1 | 61.1 | 10.3 | 1.4 | 0.4 |
| Serious emotional disturbance | 14.9 | 28.5 | 37.1 | 13.9 | 3.6 | 2.0 |
| Hearing impairments | 27.0 | 18.2 | 31.7 | 10.6 | 12.3 | 0.2 |
| Multiple disabilities | 5.9 | 14.3 | 43.7 | 29.5 | 3.9 | 2.7 |
| Orthopedic impairments | 29.6 | 18.9 | 34.7 | 9.9 | 1.0 | 5.9 |
| Other health impairments | 31.2 | 22.3 | 24.6 | 7.8 | 1.0 | 13.1 |
| Visual impairments | 39.3 | 23.7 | 21.1 | 4.5 | 10.8 | 0.6 |
| Deaf-blindness | 8.0 | 16.3 | 29.9 | 16.6 | 28.4 | 1.0 |
| All disabilities | 31.5 | 37.6 | 24.9 | 4.6 | 0.9 | 0.6 |

SOURCE: U. S. Department of Education, 1992. *To Assure the Free Appropriate Public Education of All Children With Disabilities*. Washington, D. C.

Gettings, R. M., Carson, S. A., Croston, M. A. of the National Association of State Mental Retardation Program Directors, Inc., 1992. *Summary of Legislation Affecting People with Disabilities*. (Contract No 433J47100266) Washington, D. C.: U. S. Department of Education, OSERS

It is important to note that 31.5% of children with disabilities were served in regular classroom settings, the least restrictive environment, as a national average. However, six states served less than 15% in regular classrooms while twelve other states served 50% or more in regular classrooms in 1990. Exhibit 7 depicts the states placement of students with disabilities in regular classrooms.

EXHIBIT 7: PERCENTAGE OF STUDENTS WITH DISABILITIES PLACED IN REGULAR CLASSROOMS, 1990




DATA SOURCE: U. S. Department of Education. 1992. *To Assure a Free Appropriate Public Education to All Children With Disabilities: Fourteenth Annual Report to Congress.* Washington, D. C.

**Federal.** Under Part B, an important federal role is to monitor states to ensure that they are carrying out their responsibilities to supervise LEAs and IEUs, and to provide funding to supplement SEA and LEA funds needed to provide special educational services. Important considerations in the monitoring efforts are that IEPs are provided and meet federal standards, including the standard of placement in the least restrictive environment (LRE). Another consideration is that qualified personnel are available to work with students with disabilities. If states are found to not be in compliance on these or on the many other legislated requirements, OSEP develops a corrective action plan (CAP) which must be carried out by the state.

A continuing federal concern is the number and type of deficiencies in state plans and monitoring reports. All of the OSEP monitoring reports in 1991 mentioned deficiencies in some areas of procedural safeguards. Of the 14 plans reviewed in 1991, the total number of states in which specific deficiencies were found is listed in the annual report but no comparative data is provided. For example, five of 14 states did not have adequate policies or procedures for developing and implementing interagency agreements as required under section 300.152 of federal regulations. A performance indicator showing whether the percentage of states cited for inadequate compliance in this area is increasing or decreasing would be more useful. Monitoring visits deal only with federal requirements, defined within the limits of state standards, and do not address questions of best educational practice.

To improve both state plan submissions and monitoring results, OSEP has published checklists of required items to assist the SEAs technically in their plan preparation. In addition, OSEP sponsors training seminars for state directors of special education in preparation for state program reviews as well as state plan submission.

In addition, OSEP provides technical assistance, information, research, and training in support of efforts to gather data, to evaluate state programs, or to define student outcomes. Under Part B, funding for these programs is limited to about $4 million per year, since other parts of IDEA provide for the bulk of funding for these types of activities. Programs have varied from year to year depending on the needs and requirements of the program and Congress. Most recently, funding has been directed toward a longitudinal study of secondary school students (age 13-21) completing school. In addition, several research efforts are geared to identifying a conceptual model of appropriate student outcomes on which to base a system to monitor the progress of the program.

Recent legislation expanded OSEP's effort to include encouraging states to provide services to children in the three to five age group which meet the criteria of FAPE. Under this program, children identified early as "developmentally delayed," as well as children with disabilities, are assisted to make it possible for them to be served in regular classrooms when they reach elementary school.

### Data Available

OSEP has already developed many potentially useful performance indicators in managing the Part B program. As noted previously, the NAPA team found the annual report to Congress contained a number of statistical tables which were supplemented by excellent narrative explanations concerning trends and implications of the data presented. Some of the statistics were compared over time to demonstrate progress in addressing specific disabilities or procedural compliance issues and were considered by the NAPA team to represent good examples of performance indicators in use by OSEP in managing Part B. As part of this report, such performance indicators already in use will be identified.

The annual report to Congress, which contains data compiled from state reports, is the largest compilation of data about the program. It includes data and indicators on students enrolled in special education, including their placement, their disabilities, their demographic characteristics, and how they exit the system. It also contains data on special education teachers, including the number employed and the number needed, and training efforts. Data on state plans include number and types of deficiencies found in state plans and local monitoring reviews. Positive data from state monitoring reviews is reported as commendations. The report also contains summaries of data from special studies.

OSEP funds special studies under Part B on specific topics and populations which also yield valuable data. Early studies (1976-78) dealt with the cost of special education, definition of handicapping conditions, and progress in implementation and capacity building. More recent studies have dealt with special populations, such as migrant children, day and residential facilities, screening and referral, transition planning, mainstreaming, and evaluation procedures.

One study, undertaken by the National Center for Educational Outcomes, provides a series of student outcomes within a broad, child focused conceptual model for special education. Specific educational outcomes for students are separated into eight blocks or domains: Presence and Participation, Accommodation and Adaptation, Physical Health, Responsibility and Independence, Contribution and Citizenship, Academic and Functional Literacy, Personal and Social Adjustment, and Satisfaction. The model has attracted wide support but data are not yet available on a broad national scale for reporting on most of these outcomes. Additional studies are being considered which are expected to yield more information on obtaining student outcomes in the future. These include a major five year longitudinal study by NCES of children entering kindergarten through fourth grade. The sample is expected to involve a total of about 24,000 children nationally and will include children with disabilities. Another study of children in grades 5-8 is also being considered by NCES if funds are available. OSEP plans to be able to supplement these studies to obtain adequate samples and appropriate reports on students with disabilities.

The National Longitudinal Transition Study focused on the experiences of students with disabilities (age 13-21) as they make the transition from school to work and independent living. The study used a nationally representative sample of 8,000 students and their parents. A significant amount of data on these students, their disabilities and demographic and personal characteristics, their educational experiences, and their experiences after completing school are available. However, until additional longitudinal studies covering children with disabilities can be designed and financed, there will be major gaps in outcome data. The NAPA team was concerned about the cost and infrequency of data from longitudinal studies and special surveys as a basis for Part B outcome indicators.

## Implications of the Program Structure on Performance Indicators

As noted above, the system under which Part B is administered is a complex interaction of federal, state, and local governments, together with the active participation of a variety of interest and advocacy groups representing and including students and their parents. Although the legislation contains the goal of providing free appropriate public education in the least restrictive environment, the federal government's role is quite restricted. The primary outcome of federal monitoring efforts is state compliance with their responsibilities to effectively supervise LEAs and IEUs in their delivery of special education to children with disabilities. The ability of the federal government to influence student outcomes directly, however, is extremely limited. Indicators such as academic achievement by students with disabilities and success in job placement are of considerable interest to federal policy officials and program managers but there are few if any direct links between federal requirements and financing for Part B and individual student performance.

Although federal funding is substantial, it represents only a fraction of total funding for special education. Federal funds have infrequently been withheld from states because of poor practices or non-compliance with certain requirements. Part B is administered more as a partnership with states which have been charged by Congress and the courts to provide for the education of children with disabilities. Exhibit 8 shows a comparison of SEA, LEA, and federal funding for special education.

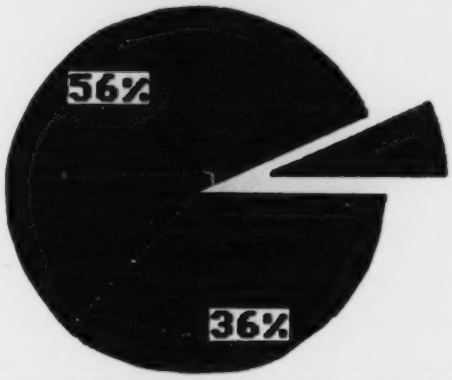
Funding and needs assessment indicators are important to the financial assistance portion of this program. In the case of a formula program in which distribution of federal funding is determined by a formula based on average per pupil expenditure and number of students served, trends in per pupil costs and student numbers are important indicators of future funding needs. For budgetary purposes, it is important that indicators signal trends which influence per student costs and staff requirements, and the total number of students to be served.

The number of students to be served in the future can be impacted by a large variety of factors beyond the control of the federal government. Chief among concerns about the program is the increasing need for special education because of factors such as lack of childhood immunization and parental drug abuse.

As noted above, a significant amount of data is already available. Part B legislation requires reporting program data such as number and characteristics of students, placement, completion and drop-out rates, and staffing requirements in the annual report to Congress. In addition, special research funding supports data collection about costs, special populations, and activities. Some of the data are skewed toward negative findings, since monitoring visits are focused on uncovering evidence of non-compliance.

EXHIBIT 8 SEA, LEA, AND FEDERAL FUNDING FOR SPECIAL EDUCATION, 1987-1988

| | $ BILLIONS | |
|---|---|---|
| Federal | 1.215 | 8% |
| State | 8.668 | 56% |
| Local | 5.594 | 36% |




DATA SOURCE U S Department of Education, 1992, *To Assure the Free Appropriate Education of All Children With Disabilities* Washington, D C

Many of the indicators necessary to provide a complete picture of the program are already in place. NAPA's role for this program is to suggest indicators which can bring more balance in federal management of Part B and help to communicate program accomplishments to the public and policy makers. In addition, the NAPA team has recommended some changes in reporting methods and benchmarks.

Since the state role is so central in implementing Part B, NAPA suggests OSEP consider revising the format of the Annual Report to Congress on IDEA. The report could include concise summaries of data on each state structured around key performance indicators suggested later in this report. A performance indicator showing the progress of each state over the last ten years toward placement of children with disabilities in regular classrooms, for example, would be very useful. The performance indicator could be supplemented by the state with a short narrative highlighting any related special conditions or issues which would be useful to ED policy officials and the Congress in monitoring state performance.

OSEP's basic approach to selecting sites for monitoring does have an important influence on the type, content, and frequency of data collected on compliance deficiencies with respect to federal requirements. In addition to reviews at the state level, the OSEP monitoring teams select certain LEAs based on evidence that there may be specific compliance problems in that jurisdiction. Information sources used by OSEP in selecting local sites include individual complaints filed with the Department of Education, suggestions received at public meetings which are held at the start of a state review, problem areas cited in previous OSEP reviews and other factors. As a result of the selection process, the data collected including IEP specific findings are not reflective of a random sample of practices within the state. Use of such data as a basis for performance indicators should be explained and presented within the context of the compliance review program.

## III. ISSUES AFFECTING SPECIAL EDUCATION PROGRAM PERFORMANCE INDICATORS

This effort to develop more useful performance indicators is part of the Department of Education's initiatives to adopt strategic planning methods in managing programs mandated by Congress. ED's strategic planning initiatives include performance indicators as part of a management system which includes goal setting, implementation, performance monitoring, and regular reporting. Key to the success of this approach is understanding the legislative goals and requirements, contextual factors, and management information needs which are peculiar to individual programs.

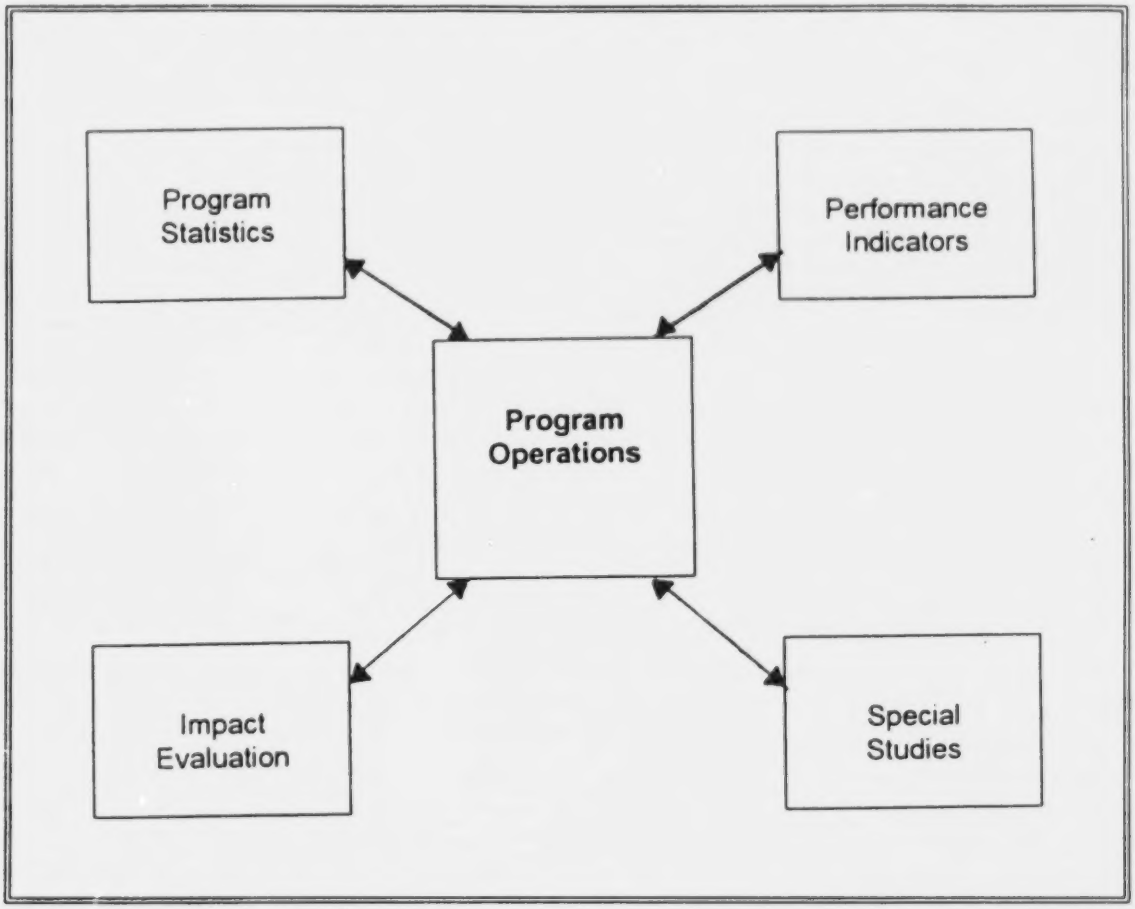
### Legislative Goals and Requirements

Although indicators are an important factor in communicating program achievements to Congress, considerable creativity may be required to determine which outcome indicators are most important to legislators. As noted above, many of the terms used in administration of special education programs under Part B, are loosely defined in the legislation. Such terms as "free appropriate public education" and "least restrictive environment" have been the subject of numerous court cases, as interpretation varies from state to state. Although the legislation requires that states report on their plans and policies for delivering free appropriate public education in least restrictive environments, indicators of progress toward these goals are dependent partly on states' individual interpretations of these terms.

The Individuals with Disabilities Education Act includes the statement that "it is in the national interest that the Federal Government assist State and local efforts to provide programs to meet the educational needs of children with disabilities in order to assure equal protection of the law." To date, the federal effort has emphasized the role of "assisting State and local efforts." Although this has included funding, the most important federal role has been monitoring states to assure that they effectively regulate public educational agencies. Although monitoring visits include inspection of a limited number of student files and a secretarial review, the federal government does not deal with individual cases. If problems are found, states are directed to revise their policies to ensure that LEAs correct them. Thus, federal efforts are somewhat removed from actual student experiences.

Although "meeting the needs" may be construed to indicate Congressional interest in academic achievement among students with disabilities, Congress did not include requirements for reporting student achievement outcomes in Part B. Research funded under Part B, however, has begun to develop indicators for student outcomes which are critical to program improvement efforts. While states are given the ultimate right to set standards for delivery of educational programs, a strong federal role in supporting research and special studies to provide essential data on relationships among education strategies, placement and outcomes is essential.

EXHIBIT 9. INFORMATION TYPES




NOTE: Each of these types of information is related to the other types, see text

## Information Types

It is important to distinguish among several different types of information collected about programs. These are shown in Exhibit 9 and include program statistics, performance indicators, impact evaluation, and program research.

Program statistics provide general data concerning a program's background, scope, or participants without necessarily being connected to a plan for using the statistics for assessing overall program direction. The total number of children identified as mentally retarded in a particular state is an example of a program statistic.

Performance indicators are systematic measures of program activities and outcomes that are directly tied to program goals and objectives. For example, the percentage of fifth grade students with disabilities who are taught in regular classrooms (as a proxy for least restrictive environment) is a statistic tied directly to one of the major goals of Part B.

Impact evaluation uses specific methods and data to determine effects that are caused by a program. A reduction in the drop-out rate for students with orthopedic impairments who are attending regular classes compared to those attending special classes, net other factors, would provide a basis for judging program impact.

Program research and special studies focus on understanding the underlying basic processes involved in a program. This might involve a multi-year longitudinal study to determine the relationship between placement of mentally retarded students in different learning environments and their academic achievement levels.

These various types of information can and should be complementary to each other, particularly as they are studied cumulatively over time. As shown in Exhibit 8, each of the four types of information relate to program operations and to each other in supporting improvements in the management of the program.

## IV. PROCESSES OF DEVELOPING INDICATORS FOR SPECIAL EDUCATION PROGRAMS UNDER IDEA, PART B

In order to develop a useful set of performance indicators, a partnership should be formed between program staff, key stakeholders, and persons with technical expertise in evaluation and organizational management. Working together, a set of indicators can be developed which are understandable, flexible, and for which data can be compiled without excessive cost.

To develop the recommendations for program indicators for the programs under IDEA, Part B, we completed specific tasks to achieve an understanding of program activities and goals, and to assess available and needed data. These tasks included:

- –Obtain background information to understand the OSEP processes, goals, and management information needs and performance indicators already in use;
- –Orient the program staff and stakeholders about the nature and functions of performance measures;
- –Encourage program staff and external stakeholders to reflect on their roles in the program, on information needs, and on current uses of performance measures;
- –Bring internal and external stakeholders together to discuss each others' roles and information needs and current issues in special education; and
- –Encourage program staff to derive new indicators as information needs and program processes change.

Specific activities included individual and small group interviews, telephone surveys, large group meetings, extensive document review, and examination of data sources. Based on the information from these activities, we developed a model of program activities, and a list of potential indicators with appropriate benchmarks. From the highest priority indicators, we formed a core set listed in the next section and further amplified in Appendix A. We also include context variables, which provide data on elements over which program managers have limited or no control, but which appear as important factors in managing the program.

### Developing a Program Model

Our first task was to understand the basic processes involved in the administration of IDEA, Part B, by interviewing key program staff and reviewing documents, as listed in Appendix C. Interviews served the dual purposes of briefly explaining performance indicator concepts and NAPA's role, and of obtaining information about program activities.

We also systematically reviewed documents relevant to the program, including legislation, regulations, state plans, local applications, annual reports to Congress, internal and external

evaluations, training manuals, data presentations, and articles about specific issues in special education in professional journals. Some documents pertain to the entire effort to offer special education to disabled students, and reviewing them helped clarify the role of the federal government and Part B within all special education programs. A list of documents reviewed along with a short annotation for each entry can be found in Appendix C.

NAPA used a program model of inputs, processes, and outcomes, along with context variables, to conform with the program model currently used in ED. Exhibit 11 shows the relationship of identified program elements to this model.

### Refining the Model and Defining the Initial Indicators

To clarify our perception of program elements, we conducted additional interviews with program personnel. In addition, we obtained more information on data available and monitoring processes within the program. Program staff also offered additional documents such as sample state plans, evaluations, and state monitoring reports which helped to further clarify program goals, accomplishments, issues, and suggested data sources. Information on the use of indicators in other countries including special education programs was obtained from international agencies such as the United Nations Development Program, United Nations Statistical Office, UNICEF, and the Organization for Economic Cooperation and Development.

Stakeholder involvement included telephone interviews with several state special education directors. After initial questions on background information, the interview focused on the federal role in monitoring compliance and what indicators are most useful to states managing their responsibilities. Several specific performance indicators suggested by state directors of special education involved coordination of service arrangements, sharing of state data on complaints with OSEP, and the inclusion of state input in explaining long-term trends in placement of children with disabilities in regular classrooms. In addition, we discussed indicators which have been developed to manage projects at the state and local levels.

We held a larger group meeting with key program personnel and stakeholders. The list of those who were invited to the stakeholders' meeting is in Appendix C. The purposes for this meeting were to:

–Orient participants to the theory and practice of performance indicators in federal government programs;

–Explain NAPA's role in support of ED's work on developing performance indicators;

–Elicit more input on the program elements matrix and the indicator list;

–Encourage dialogue concerning performance indicators among the program's internal managers and its external stakeholders; and

–Begin to investigate their priorities for potential indicators

EXHIBIT 11: IDEA PART B PROGRAM ELEMENTS

| Level | Context | Input | Process | Outcome |
|---|---|---|---|---|
| **Federal** | -Health conditions/practices | -Legislation/Regulations<br>-Funding<br>-State and local regulations- to the extent that they define program elements | -Refer complaints to states<br>-Provide corrective action plans<br>-Disseminate information<br>-Provide technical assistance<br>-Certify child count<br>-Provide uniform financial forms<br>-Distribute funds<br>-Compile annual data<br>-Evaluate state plans<br>-Monitor states | -Annual report for Congress/public<br>-Budget/need projections<br>-State evaluation - communications deficiencies<br>-Corrective action plans needed |
| **State** | -Health conditions/practices | -State laws<br>-State teaching certification<br>-Funding<br>-Personnel | -Does C.A.P.<br>-Passes funding to LEA/IEU<br>-Uses funds for projects<br>-Has policies, plans consistent with federal FAPE, LRE<br>-Has CSPD plan<br>-Has procedural safeguards<br>-Investigates complaints<br>-Approves LEA applications<br>-Provides state plan<br>-Provides data to ED<br>-Supervises LEA | -Monitoring report--commendations and deficiencies<br>-State plan corrected<br>-Complaints investigated<br>-LEAs supervised<br>-Data provided to ED |
| **LEA/IEU** | -Health conditions/practices<br>-Economy | -Funds<br>-Resources<br>-Regulations<br>-Community interest groups<br>-Students | -Identity of students<br>-Provide FAPE<br>-Place in LRE<br>-Complete IEPs<br>-Complete funding application<br>-Maintain IEP records | -Students served (FAPE, LRE)<br>-Sufficient personnel available<br>-Data provided SEA |
| **Student/ Parent** | -Socio-economic characteristics<br>-Economy | -Student & family demographics<br>-Nature of disabilities<br>-Causes of disabilities, if known | -Participate in evaluation, IEP<br>-Attend school<br>-Participate in curriculum activities | -School completion<br>Graduate<br>Move to regular ED<br>Drop out<br>Age out<br>-Transition to work<br>Postsecondary ED<br>Employment<br>Independent living |



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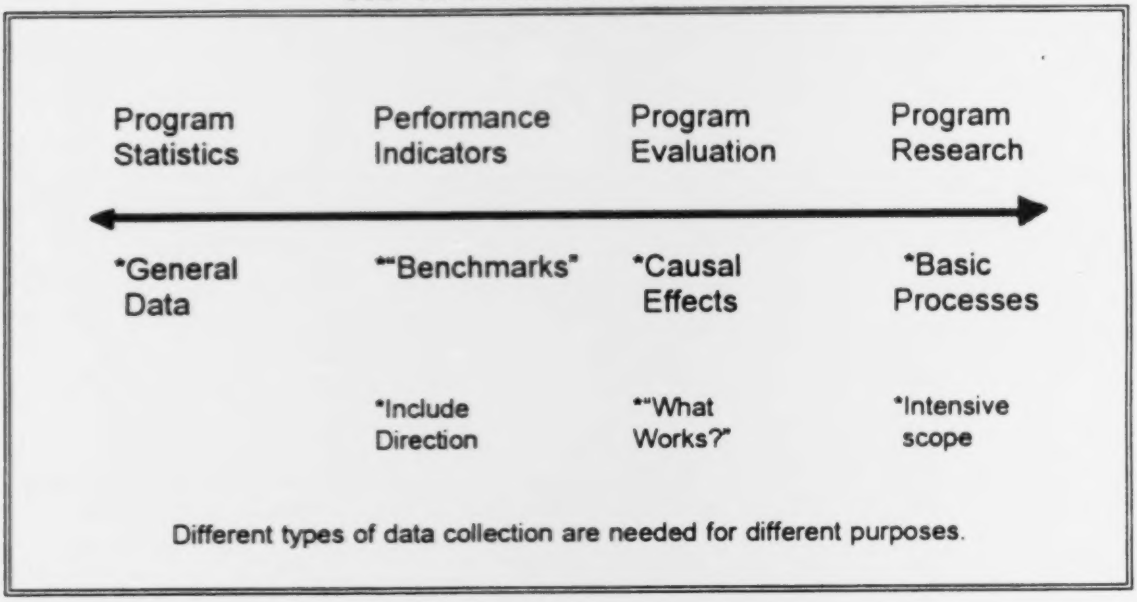
During the introductory part of the stakeholders meeting the NAPA team explained the use of various types of information as described previously in this report. We found it helpful to stakeholders to describe the types of information as lying on a continuum, ranging from program statistics (as the simplest form of data) to impact evaluation as the most complex. Performance indicators were explained as closely related to program statistics in their simplicity. (See Exhibit 11.).

EXHIBIT 11: CONTINUUM OF INFORMATION TYPES USEFUL IN PROGRAM ANALYSIS




Stakeholders were asked to first develop their own list of priority indicators for Part B programs and later to react to a list of draft indicators developed by the NAPA team. The first discussion period was used to elicit stakeholder ideas for indicators and to work in small groups to determine short lists of priority indicators. During the second discussion period, stakeholders were asked to prioritize the draft list of indicators. At the end of the meeting, participants were asked to fill out forms listing indicators which they thought might be useful to add to our list, and to indicate those which should be highest priority from the perspective of the Department of Education managers. Participants at the stakeholder meeting expressed particular interest in the concept of using "context variables" and the importance of outcome performance indicators which addressed academic achievement, literacy, personal independence, and employment of students with disabilities.

## Choosing Priority Indicators

We chose priority indicators based on the program elements, program operational considerations, and other factors affecting indicators detailed in earlier chapters. An important consideration in this process was that, although indicators must include data on all of the important elements of the program, they must not be so numerous that they become overwhelming to the persons seeking information. In the process of determining the final list of indicators we considered the following points detailed below in Exhibit 12.

EXHIBIT 12: CONSIDERATIONS FOR SELECTING PRIORITY INDICATORS

- ✓ Identify indicators for all of the elements on the program matrix.
- ✓ Consider the implications of legislative goals and program realities.
- ✓ Eliminate potential indicators which have limited use, or are open to conflicting interpretations.
- ✓ State the remaining indicators in operational terms with appropriate benchmarks.
- ✓ Review known sources of program data and identify data elements which appear to match the requirements of the indicators.
- ✓ Review the quality of existing data, and determine whether new data collections will be necessary and feasible.
- ✓ Eliminate indicators for which it does not appear it is possible or practical to collect data.

## Next Steps

The proposed list of indicators was reviewed by the NAPA panel, a group of nationally recognized experts on educational evaluation and government performance indicators. Their suggestions have been incorporated into this report.

## Limitations of This Report

There are two important limitations to this report:

–NAPA's activities focused on programs supported by Part B of IDEA, and did not address other closely related IDEA programs, such as infant and toddler, teacher training, and research programs.

–The time and resource limitations of the project restricted the amount of input from individual local projects, students with disabilities and their families.

The target of this project was explicitly programs under Part B of IDEA. However, as we explored issues relating to this program that are likely to be of key interest to policy makers and Congress, it became apparent that many important indicators should cut across OSERS, so that comparative information is collected and presented. Ratings of the effectiveness of support services provided to states would be a critical indicator of the effectiveness of federal technical resource centers which cuts across programs.

## V. SUGGESTED PERFORMANCE INDICATORS FOR THE SPECIAL EDUCATION PROGRAM

Since the first annual report to Congress in 1979 on the implementation of P.L. 94-142, OSEP has developed an extensive set of performance indicators. This report includes several indicators already in use to reinforce their continuing importance in the managing of special education programs. Most of NAPA's efforts were directed, however, at developing new indicators involving context variables and input, process and outcome measures which could contribute to a more complete and balanced program management system for use by the Department of Education.

The recommended indicators and contextual variables are summarized in Exhibits 13 - 16. More detailed explanations of benchmarks, data sources and uses of specific performance indicators by federal managers are included in Appendices A and B.

### Context Variables

The context describes the environment in which the program operates, helps focus assessment of current and future needs, and provides background information against which change in the population of students with disabilities and its characteristics can be measured.

The selection of the context variables recommended below is based on several considerations. Among the most important factors affecting changes in the relative percentage of children with disabilities are health conditions in the early stages of life. Several variables on child health such as low birth weight and practices of women of child bearing age such as alcohol and drug abuse are included. Several other variables were selected because of their importance to federal program managers in relating assistance under Part B to broader efforts to assist several categories of "at risk" children. The final context variable, voluntary organizations concerned with children with disabilities, was selected to highlight the importance of such groups in working with federal, state and local educational agencies in establishing policies and programs for children with disabilities.

EXHIBIT 13: RECOMMENDED CONTEXT VARIABLE

CV.1 **Estimate of "at risk" children**: Total estimated number and percentage of school age children classified as educationally "at risk"
- -by category of risk: poverty, homeless, limited English proficiency, disability, migratory status, other)
- -by year
- -by state
- -by LEA

CV.2 **Child health conditions**:

CV.2a Estimated number and percentage of new borns with low birth weight
- -by year
- -by state

CV.2b Estimated number and percentage of two year olds immunized against child diseases
- -by year
- -by state

CV.3 **Maternal health**: Estimated number and percentage of women of child bearing age participating in or affected by practices which contribute to disabilities in children
- -by activity (cigarettes, alcohol abuse, drug abuse, other)
- -by year
- -by state

CV.4 **Assistance from other programs**: Estimated number of children with disabilities (birth through 21) assisted through other federal programs
- -Other ED programs (RSA, Title VII, ESES, other)
- -other agency programs (HHS, DOL, USDA)

CV.5 **Number of voluntary organizations**: Membership of national and state level voluntary organizations which promote development and well being of children with disabilities
- -by interest area
- -by membership
- -by year

## Input Indicators

Input indicators provide data on policy mandates to address a significant need or problem and on the resources committed to program funding, administrative arrangements, and staffing. While input indicators do not demonstrate "performance," they are needed in a system of performance indicators to provide this essential background data. Further, data on funding, staff and other resources are needed to calculate administrative efficiency and other cost-benefit ratios.

The selection of key input indicators emphasizes changes in the goals, program priorities and compliance requirements reflected in federal legislation, and changes in the allocation of financial and staff resources at the federal and state level. Indicators on changes in the availability of a sufficient number of qualified special education teachers and training and technical assistance resources to support them are also included to measure changes in the adequacy of support for delivery of services to children with disabilities.

Recommended input indicators are outlined in Exhibit 14, and detailed in Appendix A.

## EXHIBIT 14: RECOMMENDED INPUT INDICATORS

1.1 * **Total number of children with disabilities:** Estimated number and percentage of children with disabilities including undiagnosed (birth through 21)
- -by disability
- -by state
- -by age
- -by time period (past decade, current year, next decade)

1.2 * **Federal legislation and regulations:** Major changes in legislation (Part B of IDEA and federal statutes and regulations) affecting children with disabilities
- -by year
- -by type of change

1.3 **Federal program resources:**

1.3a * The amount and percentage of the total IDEA and ESEA Ch. 1 (SOP) funding
- -by year
- -by state
- -by category of service or activity
- -by per pupil expenditure level adjusted for inflation

1.3b ED staff resources allocated for Part B program administration. Specifically:
- -number of professional OSEP staff positions authorized and percentage filled by year
- -number of professional OSEP staff years (FTE) assigned to Part B program administration, by year, per 100,000 children enrolled
- -number and percentage of OSEP professional staff participating in at least 5 or more days of program related professional development activities per year
- -number of consultants/contractor staff years (FTE) in direct support of ED's Part B program administration, by year per 100,000 children enrolled

* Indicator already in partial use.

1.4 **State/local program resources:**

1.4a * The amount of state and local funding provided in support of Part B programs
- -by year
- -by state
- -by LEAs
- -by per pupil expenditure level adjusted for inflation
- -by placement

1.4b Professional staff years (FTE) assigned by SEA to Part B program administration
- -number of professional SEA staff years assigned to Part B program administration by year, per 1,000 children enrolled
- -number and percentage of SEA professional staff participating in at least 5 or more days of program related professional development activities per year

1.5 * **Number of teachers:**

1.5a Estimated number of special education teachers required and actually employed
- -by specialty
- -by year
- -by state

1.5b Number of qualified special education teachers who are permanently certified, employed in areas other than special education
- -by specialty
- -by year
- -by state

1.6 **Technical assistance:** Number and types of technical assistance and training resources funded to support Part B programs. Specifically,
- -by type of assistance provided (research, training, technical assistance, evaluation, assistive technology)
- -by total annual funding per 100,000 children enrolled
- -by professional staff (FTE) employed

## Process Indicators

Process indicators provide information about the operations and activities within the daily management of a program. They provide valuable information about what activities are occurring at each level of a program's operations, and may signal areas where changes or improvements are needed. Process indicators may include narrative as well as quantitative program data.

At the federal level, activities involving state compliance reviews, technical assistance, allocation of funds, monitoring activity and review of technical assistance and training project evaluations can be used to describe activities of ED program staff.

The selection of process indicators focuses heavily on the effectiveness of federal compliance monitoring in ensuring that individual states are fulfilling the requirements of IDEA, as well as the court decisions which guarantee the rights of children with disabilities to a free appropriate education in the least restrictive environment. The indicators cover a percentage of the school age population enrolled in special education, attendance, progress in reducing the relative incidence of non-compliance with federal requirements, changes in types of learning environments in which children with disabilities are placed, and the types of services they receive. An indicator on the extent of coordination of services arrangements is also included to reflect the importance of a client-oriented approach to services for persons with disabilities.

## EXHIBIT 15: RECOMMENDED PROCESS INDICATORS

**2.1 Student participation:**

2.1a Number of children with disabilities (birth through 21) enrolled in Part B assisted programs as a percentage of the resident school age population. Specifically,
- -by disability
- -by age
- -by year
- -by state

[NOTE: OSEP has an extensive list of Child Count Tables showing data on enrollment.]

2.1b • Percentage of school days attended by Part B assisted children with disabilities Specifically,
- -by disability
- -by learning environment
- -by grade, by semester
- -by year
- -by state

**2.2 Placement and types of services provided:**

2.2a • Type of special services received by children with disabilities under Part B
- -by placement
- -by disability
- -by type of service (educational, other)
- -by year
- -by state

**2.3 Coordination of service arrangements:** Number and type of coordination of services arrangements to provide assistance to children with disabilities from other sources
- -by level (federal, state, LEA)
- -by type of service to be provided
- -by year

**2.4 Monitoring state compliance with federal regulations:**

2.4a Number of complaints filed with ED alleging non-compliance with federal requirements
- -by year
- -by basis of complaint
- -by disposition
- -by state

2.4b • Of state plan reviews each year, number and percentage of mandatory federal requirements requiring addition/amending by states prior to final approval
- -by requirement
- -by year
- -by state

2.4c • Number and duration of Part B site monitoring visits conducted by OSEP
- -number and duration of site visits conducted by year
- -number of OSEP professional staff days allocated to on site compliance monitoring per 10,000 children enrolled in Part B

2.4d Number of specific deficiencies noted in individual case file reviews by OSEP
- -by type of deficiency
- -by year

2.4e • Commendations included in OSEP compliance monitoring reports on improvements and noteworthy initiatives
- -by type of commendation
- -by frequency of mention
- -by year

**2.5 Financial integrity:** Number of audit report deficiencies requiring corrective action by Part B grantees. Specifically,
- -by year
- -by type of deficiency

## Outcome Indicators

Within a performance measurement framework, outcome indicators are the "bottom line" measures of what the program is intended to achieve. Ideally, they measure progress toward the objectives legislated for a program. However, federal legislation does not mandate specific methods or instruments to gather outcome data on a uniform basis. As a result, much valuable data can only be aggregated at the federal level in gross terms, although there are some techniques available for making comparisons despite the limitations of non-uniform special education data collection methods. For example, student achievement could be aggregated as number and percent of LEAs reporting disabled student achievement gains which are proportionately higher than regular student gains. More complex and subjective data, such as student and parent satisfaction with services offered, could be gathered by OSEP by surveying a sample of students, parents, and teachers as an extension of the existing IEP case file review process.

The selection of outcome indicators reflects several themes. The results of federal compliance monitoring must be viewed as central to meeting the goals of Part B as established by the courts and Congress. Progress toward including more children with disabilities in regular classrooms as the least restrictive setting, reducing the drop out rate and supporting the individual development of persons with disabilities are also key legislative goals. Public and client satisfaction indicators are included to highlight the importance of feedback from clients receiving services and key stakeholder groups as a basis for continuous improvement in the quality of the program.

EXHIBIT 16: RECOMMENDED OUTCOME INDICATORS

3.1 **State plan approval**: Number and percentage of state plan compliance reviews resulting in OSEP approval
- -by number of reviews resulting in final approval of state policies and practices as complying with federal requirements within 6 and 12 months of report issuance

3.2 * **Number and percentage of children with disabilities served in regular classrooms:**
- -by type of placement
- -by year
- -by state

3.3 **Students with disabilities exiting school**: Number and percentage of Part B children exiting school
- -by cause (graduation, drop-out, age limit, other)
- -by disability
- -by grade
- -by year
- -by state

[NOTE: OSEP has some national indicators on disabled children 14 years and older based on longitudinal research studies including transition from school to work.]

3.4 **Academic achievement and functional literacy:**

3.4a Percent of students with disabilities who use and comprehend language that effectively accomplishes the purpose of the communication
- -by disability
- -by age
- -by placement

3.4b Percent of students with disabilities who can demonstrate problem-solving and creative thinking skills
- -by disability
- -by age
- -by placement

3.4c Percent of students with disabilities who demonstrate competence in math, reading and writing respectively, necessary to function
- -in current environment
- -in next environments
- -by disability
- -by age
- -by placement

3.5 * **School to work transition**: Percentage of students with disabilities exiting school by status
- -by disability
- -enrolled in postsecondary education
- -employed
- -living independently

* Indicator already in partial use.

| | | | |
|---|---|---|---|
| 3.6 | **Public satisfaction:** | 3.7 | **Client satisfaction:** |
| 3.6a | Issues most frequently mentioned at public meetings and from written comments submitted in conducting state reviews of Part B compliance<br>-by type of issue and frequency of mention<br>-by year | 3.7a | Parent/guardian ratings of overall quality of Individualized Education Program (IEP) in meeting the needs of their children<br>-by disability<br>-by grade level of student<br>-by year |
| 3.6b | Degree of satisfaction with federal administration of Part B from perspective of<br>-national/local interest groups<br>-state elected officials<br>-state directors of special education<br>-Chief State School Officers<br>-Congressional staff | 3.7b | Student ratings, where possible, of services provided per IEP as most helpful. Specifically,<br>-by disability<br>-by type of service provided<br>-by grade level<br>-by year |
| | | | * Indicator already in partial use. |

Exhibit 17 displays the relationship of the indicators to the various elements of the program logic model.

## VI. USES OF PERFORMANCE INDICATORS

The use of performance indicators is normally within a broader program management *system* geared to regularly review and report on program activity and results. Setting up such a system allows program managers and policy makers to identify areas where program functioning could improve, where closer scrutiny of program activities is needed. It also allows managers to provide timely and accurate information on what the program is accomplishing. A complete performance monitoring system is a feedback loop which includes successive cycles of goal setting, performance monitoring, and regular reporting as suggested in the recently enacted Government Performance and Results Act of 1993. These cycles can be of different lengths, depending on the reporting demands and needs faced by program managers, and the cost and practicalities of collecting data. The selection and use of performance indicators is a process, not a product.

The process of developing performance indicators for Part B programs may also underline continuing questions of discrepancies in data definitions which were not fully agreed upon during earlier program development. This may require policy makers to articulate more clearly their objectives for a program. For example: Should standardized tests be used to evaluate student achievement, or can the current trend toward individual student assessments be treated in such a manner to indicate progress (or its lack) nationally? What differences, if any, are there in the outcomes of different types of instructional programs? In light of these differences, what instructional strategies should be targeted for special study? The very process of getting decision makers and stakeholders to communicate about program performance indicators is valuable where the federal contribution to serving children with disabilities is shared among several departments and educational theory has not clearly developed models for optimum educational practices to benefit them.

### Data Sources

Once stakeholders and program managers have reached agreement on general program goals and the specific indicators they wish to use to communicate progress toward them, program staff must obtain actual indicator data. A key next step for using the indicators suggested is to develop plans for a multi-part production and user system which includes several types of data. Following are suggestions for further developing existing data bases or instituting new ones:

a. Array and analyze aggregate indicators from available data sources. This step would build on the data compilations from state plans and LEA funding applications, annual progress reports, and special studies, but would add more analyses over time and include simpler presentations of the most important data. One of the most important functions of this step would be to bring together the data analysts with users, both for setting priorities and for discussing results.

This step also would require examining the specification of the original data sources, deciding on the exact data element(s) to be used for each indicator, reformatting some data and merging data elements from multiple application and reporting years, calculating the statistics or ratios desired, compiling the results, and creating appropriate presentations of them. The report of results should include not only the agreed-on presentation of the indicator, but also the technical details of its construction (perhaps in an appendix), and the manager's comments on the results.

b. Investigate other data collection systems currently in progress which can contribute more useful performance data for OSEP. For example, NCES publishes indicators of general educational progress, but the National Assessment of Educational Progress (NAEP) allows schools to omit special education students. A requirement that schools include these students, perhaps with different data elements, could be added to the NAEP data collection effort. These data could further be disaggregated to indicate the proportion of persons with various disabilities who have attained various levels of achievement. Similarly, the National Longitudinal Transition Study contains data on educational services and participation for a sample of students who left school in the late 1980s. A similar data base could be developed for students who are currently still in school.

c. Plan for more student outcome data collection using surveys to collect in-depth information about program administration and student outcomes at the LEA/IEU level. A number of states have developed or are developing student outcome indicators, and OSEP has funded development of indicators for students leaving school. Much of this can simply be replicated in subsequent cycles of design with changes representing national concerns and appropriate levels of achievement for students of various ages and with various disabilities.

### Indicator Presentation

As noted previously, performance indicators are "signal flags" which communicate the status and progress of a program in relationship to its goals and objectives. To communicate effectively, an indicator presentation should include:

•Reference to the program goal being addressed (increase or decrease overtime, achievement of goal, relationship to a norm);

•Credible program data expressed in the comparison appropriate to the audience and purpose (states compared to a national average, comparisons over time, comparisons among programs, comparison to a norm) or anecdotal data; and

•Appropriate commentary. (Potential data presentations can be sent to stakeholders, such as state directors, for comment. Their comments can then be added to the data presentation. See Exhibit 18 for a sample indicator presentation).

EXHIBIT 18: SAMPLE INDICATOR PRESENTATION

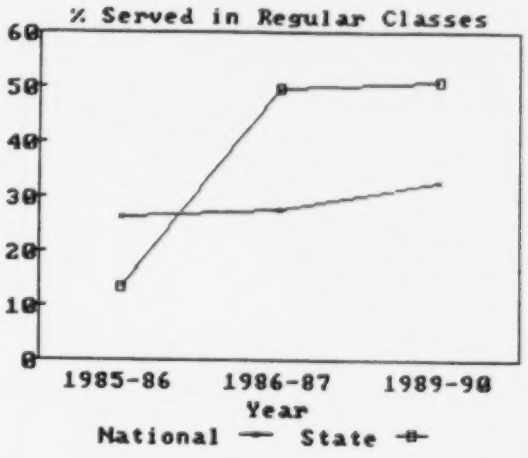
**STATE:** XXXX

Indicator #1: **Percentage of Children With Disabilities (Ages 3-21) Served in Regular Classrooms**

| YEAR | National | State |
|---|---|---|
| 1985-86 | 26.23 | 13.19 |
| 1986-87 | 27.22 | 49.26 |
| 1989-90 | 32.48 | 50.63 |
| 1995-96(Est.) | ___ | ___ |

DATA SOURCE: Annual Reports to Congress from OSEP, based on annual State progress Reports

COMMENT:




Data may be presented in tabular, graphic, or anecdotal form. Many indicators can be presented in several ways. Graphic or other visual data is a good method for presenting data in a clear and easily recalled form. NAPA suggests that a short booklet with these data be compiled for the public.

## Uses of Performance Indicators

Data gathered should be organized to communicate the aspects of program performance of interest to various stakeholders. The most immediate uses for Part B indicators include: 1) informing policy makers during re-authorization program review, and for required reports to Congress; 2) setting performance targets required under P.L. 103-62; 3) helping justify annual budget requests; 4) strengthening program management at the federal, SEA, and LEA/IEU levels; and 5) responding to the needs of national and state level interest groups concerned with people with disabilities and general public information requests.

For *informing ED policy officials and Congress*, a variety of the indicators presented above are likely to be useful. Policy makers and legislators will want to know what the program is achieving nationally and in individual states, information on expenditure levels, how many participants are being reached now and projections of future demand, and whether student achievement and drop-out rates are improving. Trends in program characteristics, by state, since P. L. 94-142 was enacted in 1975 might show important variations among states in the ways the program has developed.

For *setting performance targets*, indicators can provide valuable comparison data. The development of program performance plans as called for in the Government Performance and Results Act includes specific targets at prescribed resource levels with required indicators to measure actual progress. For example the increase in the number of new teachers qualified in special education as a function of increasing the amount of federal support for scholarships to attract more candidates could be shown at several funding levels. Another example is reducing the incidence of non compliance with federal requirements per 1,000 IEPs reviewed by increasing the size of the OSEP monitoring staff to permit more frequent on site compliance reviews. A small number of critical indicators for each program should be useful to ED policy officials, the Office of Management and Budget, and Congress in monitoring the results of federal expenditures and regulatory activities on a more consistent basis.

For *reviewing programs and budgets*, detailed data on the estimated number of disabled students in each state and projections for future numbers of disabled students, the extent to which the need for special services for disabled students is being met, and the demand for additional teacher training and its expected costs may be of great interest. In addition, relative costs per student served which are absorbed by SEAs, LEAs and the federal government might be used to support requests for changes in the funding formula as the rising tide of children affected by parental drug use become of school age. Exhibit 19 contains an example of an indicator which compares federal, state, and local funding for special education programs. Using data from performance measures as justification, ED policy makers might request changes in funding levels. Less extensive policy changes might target a larger proportion of Part B resources toward specific initiatives such as toward pre-school children or toward states in which special needs of a large percentage of disabled students are not being met, or to provide a larger proportion of funding for transition services. As these possibilities show, the use of performance indicators does not dictate policy choices, but provides data to identify gaps in current practices and to better inform potential policy alternatives.

EXHIBIT 19 : SAMPLE INDICATOR PRESENTATION

## FOR SPECIAL EDUCATION FUNDING

**Federal, State, & Local Funding**

**Legislation provides that IDEA, Part B funds used for special education and related services for students with disabilities must supplement and not supplant state and local funding.**

### FEDERAL, STATE, & LOCAL FUNDING FOR SPECIAL EDUCATION AND RELATED SERVICES FOR STUDENTS WITH DISABILITIES SELECTED YEARS, 1978-1988

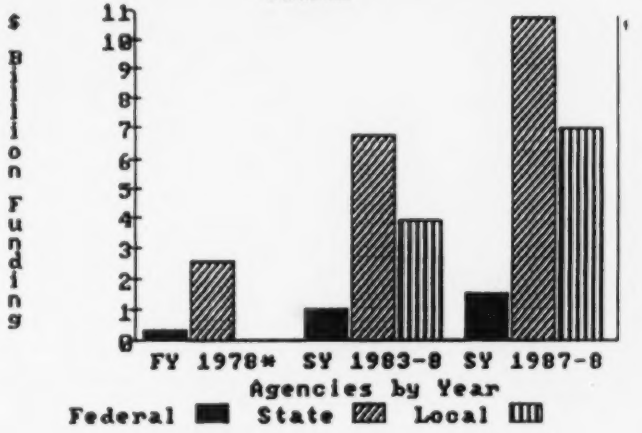
| Year | Federal | State | Local |
|---|---|---|---|
| FY 1978 | $245,775,773 | $2,477,955,000* | * |
| SY 83-84 | 1,025,178,871 | 8,422,467,473 | 3,890,948,986 |
| SY 87-88 | 1,510,189,216 | 10,730,699,365 | 6,963,167,081 |

*State funding is estimated based on FY 1976 actual expenditures. Local expenditures were not reported separately and are included in state funding.

DATA SOURCES: Office of Special Education Programs (Formerly Bureau of Education for the Handicapped) Annual reports to Congress, 1979, 1988, 1992.

## INDICATORS 1.2 & 1.3

**FEDERAL, STATE, & LOCAL FUNDING FOR SPECIAL EDUCATION AND RELATED SERVICES FOR STUDENTS WITH DISABILITIES SELECTED YEARS, 1978-1988***




**Comment: Although total federal funding has increased ten-fold since 1978, it has decreased as a percentage of total funding on special education and related services by states and localities.**



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For *managing program activities*, performance data may provide new ways to monitor and guide some aspects of the programs, in addition to contributing to policy change decisions as suggested in the examples above. For example, monitoring the frequency of non-compliance by states with specific federal requirements may indicate the need for changes in legislation or regulations to eliminate requirements which may be impractical or impossible to satisfy.

Further development of student outcome indicators may give data which can help better define areas for study to identify particularly successful early childhood interventions. Special studies of operations at the LEA level may be useful to illuminate problem areas, to suggest more efficient methods for program administration, or to identify effective practices. For example, the first cocaine affected children with disabilities have begun to enter elementary schools. Indicators of the number of those students who can enter regular classrooms in elementary school after attending early intervention programs for toddlers, may point to areas for subsequent consideration in managing early intervention programs. Similar descriptive data from monitoring visits could be analyzed to determine activity patterns in LEAs which produce certain outcomes, particularly if those outcomes are commendable. This could then be summarized as "lessons learned" to be disseminated to other areas.

For *program staff*, good data sources and an indicator system could be an important time saver in dealing with the public. Improved management information systems could be designed so that data necessary for responding to requests for information from the public is available to all staff. An example is answering complaints from parents who feel that their children are not benefiting from the program as expected. Data on processes, funding, placement, and outcomes for students with similar disabilities could be made available to these parents against which they could compare services and outcomes in their area.

NAPA's suggestions for the specific uses of the recommended performance indicators are summarized in Exhibit 20.

## Conclusion

The process of using performance indicators is a continuous activity, to plan for desired data, to assemble or collect the data needed to produce indicators, to format the presentations of data so that relevant comparisons are easily apparent to managers and policy-makers, and to use the data for decisions on future directions for the program and for the performance monitoring system itself. Using performance measures is likely to involve a learning process for all those involved, but the long-term rewards should be great.

## EXHIBIT 20: PLAN FOR PERFORMANCE INDICATOR SYSTEM USE

| Indicator | Define Problem Needs | Establish Goals/ Targets | Justify Budget | Allocate Resources | Monitor Compliance | Deliver/ Coord. Service | Cost/ Effect Ratio | Assess Outcome |
|---|---|---|---|---|---|---|---|---|
| CV.1 Est. "at risk" children | X | X | X | | | | | |
| CV.2 Child health | X | | | | | | | |
| CV.3 Maternal health | X | | | | | | | |
| CV.4 Assistance-other programs | X | X | X | | | | | |
| CV.5 Voluntary orgs. | | X | | | X | | | |
| 1.1 Child. w/disabilities | | X | X | | | X | | |
| 1.2 Changes in program goals & structure | | X | | | X | | X | |
| 1.3 Federal prog. resources | | | X | X | | | X | |
| 1.4 State prog. resources | | | X | X | | | | |
| 1.5 Teachers required | | | X | | | X | | |
| 1.6 Teacher support | | | | X | | X | X | |
| 2.1 Student participation | | X | X | | | X | | |
| 2.2 Placement/services | | X | X | X | | X | X | |
| 2.3 Technical assistance | | | X | X | | X | X | |
| 2.4 Coordination of serv. | | | | | | X | | |
| 2.5 State compliance rev. | | | | | X | | | |
| 2.6 Financial integrity | | | | | X | | | |
| 3.1 State plan approval | | | | | X | | | |
| 3.2 Children in regular class | | | | | | | | X |
| 3.3 School exiting | X | | | | | X | | X |
| 3.4 Aca. ach./literacy | X | | | | | | | X |
| 3.5 School to work transition | X | | | | | | | X |
| 3.6 Public satisfaction | X | | | | X | X | | X |
| 3.7 Client satisfaction | X | | | | X | X | | X |

# APPENDIX A

# RECOMMENDED PERFORMANCE INDICATORS

## Input Indicators

1.1 * **Total number of children with disabilities:** Estimated number and percentage of children with disabilities including undiagnosed (birth through 21)

-by disability
-by state
-by age
-by time period (past decade, current year, next decade)

**DATA SOURCE:** These data are available from OSEP special studies, and external research sources on disabilities such as other ED offices and HHS. In addition, there are many independent research efforts which provide estimates of the size and characteristics of the disabled population including children.

**DISCUSSION:** As the principal federal department concerned with the education of children with disabilities, OSEP should maintain a detailed estimate of the number of children with disabilities now and over the next decade as a benchmark for planning purposes and monitoring state practices in identifying children with disabilities at the earliest possible stage. Research into the causes of disability, changes in health conditions and practices, changes in the economic status of families will influence these estimates.

As a benchmark in using this indicator, a comparison can be used between the estimated number of children by disability category and the actual number being served based on the December 1 child count. This comparison would provide an indicator of the effectiveness of identification and assessment practices for a specific state and for the nation as a whole.

Reliability and validity of data on undiagnosed children may be difficult to obtain.

1.2* **Federal legislation and regulations:** Major changes in legislation (Part B of IDEA and federal statutes and regulations) affecting children with disabilities

-by year
-by type of change

**DATA SOURCE:** Data on legislation and regulations are available in the *Federal Register* and the *Code of Federal Regulations*.

**DISCUSSION:** Major changes in federal legislation defining the rights of persons with disabilities and authorizing assistance to promote their development help define the basic mission and goals of federal programs including Part B. Changes in existing legislation such as Section 504, of the Rehabilitation Act of 1973, and the Developmental Disabilities Act should also be considered closely.

These data indicate federal commitment to meeting the special needs of children with disabilities. They establish ED's leadership role in addressing the needs of students assisted by states and LEAs in educational institutions. They also reflect changes in theories of best educational practice and definitions of disabilities.

**1.3 Federal program resources:**

1.3a* The amount and percentage of the total IDEA and ESEA Ch. 1 (SOP) funding

-by year
-by state
-by category of service or activity
-by per pupil expenditure level adjusted for inflation

1.3b ED staff resources allocated for Part B program administration. Specifically

-number of professional OSEP staff positions authorized and percentage filled by year;

-number of professional OSEP staff years (FTE) assigned to Part B program administration, by year, per 100,000 children enrolled;

-number and percentage of OSEP professional staff participating in at least 5 or more days of program related professional development activities per year; and

-number of consultants/contractor staff years (FTE) in direct support of ED's Part B program administration, by year per 100,000 children enrolled.

**DATA SOURCE:** Data for a) can be calculated from state annual reports, and are reported in the annual report to Congress. Data for b) can be estimated from OSERS personnel records.

**DISCUSSION:** In part, IDEA funding on a per pupil basis adjusted for inflation can be interpreted to indicate the federal government's commitment to special services in education for children with disabilities. Data on funding reflect changes in numbers of students identified with disabilities and served. These data are important in establishing trends for budgetary purposes.

Changes in administrative resources devoted to IDEA Part B indicate relative priorities among policy makers and key ED administrators. Although a rise in the number of cases handled per OSEP staff member may appear to indicate greater efficiency, it may also indicate less thorough program monitoring because of lack of resources. Staff training is also critical to effective monitoring and administration. The number of hours of professional training for OSEP staff should be compared with other offices within ED and with other executive agencies managing comparable programs for the purpose of budget requests for training costs.

**1.4 State/local program resources:**

1.4a* The amount of state and local funding provided in support of Part B programs

-by year
-by state
-by LEAs
-by per pupil expenditure level adjusted for inflation
-by placement

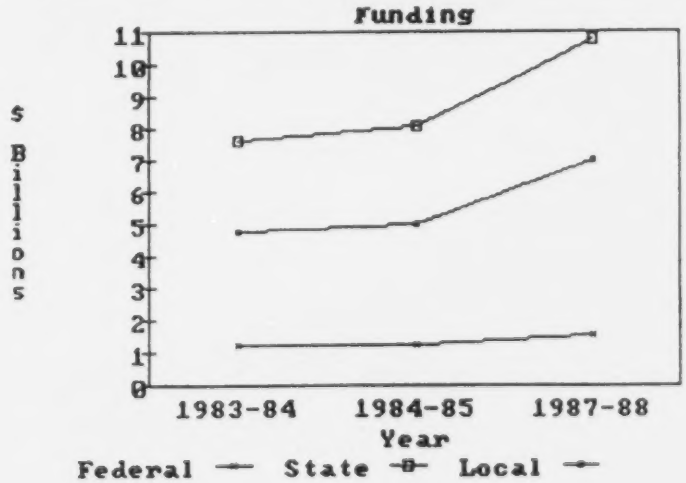
1.4b Professional staff years (FTE) assigned by SEA to Part B program administration

-number of professional SEA staff years assigned to Part B program administration by year, per 1,000 children enrolled
-number and percentage of SEA professional staff participating in at least 5 or more days of program related professional development activities per year

**DATA SOURCE:** These data are available on annual state reports and on annual LEA grant applications. However, there are major threats to its reliability and validity

**DISCUSSION:** These data indicate state and local commitment to quality education for children with disabilities, as increases occur in general educational costs and the number of children served. In addition, comparisons over time indicate trends. Per pupil expenditure levels adjusted for inflation can provide a useful benchmark over time for national and state level comparisons. Expenditure data disaggregated by placement can be used in examining costs over time and the effect on new requirements for equipment and staffing on the additional cost of educating children with disabilities.

Federal funding was designed to supplement and not to supplant state and local funding for education. State and local funding for special education students should be compared over time to funding for regular education to assure this provision.



**1.5 Number of teachers:**

1.5a Estimated number of Special Education teachers required and actually employed

-by specialty -by state
-by year

1.5b Number of qualified special education teachers who are permanently certified employed in areas other than special education

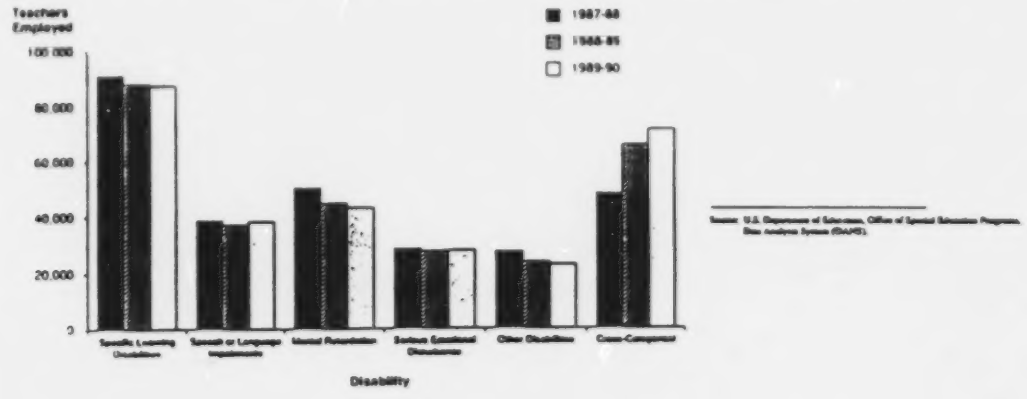
-by specialty -by year
-by state

**DATA SOURCE:** These data on the number of teachers required and employed are reported annually in local funding applications and state progress reports. They are included in OSEP's annual report to Congress.

**DISCUSSION:** Policy decisions concerning IDEA programs can be based on the need for teacher training, including technical assistance and in-service training and college level courses funded by OSEP toward certification. In addition, these data have implications on the capacity of local systems to provide necessary services. Since many students with disabilities are placed in regular classrooms in which teachers may not have special training to work with children with disabilities, these data are not an indicator of the qualities of services offered to students.

As a benchmark, a reduction in the gap between the total need for qualified special education teachers and actual level of employment of qualified special education teachers is recommended. It is also possible to establish national reduction targets which could be tied, in part, to increases or decreases in federal funding for the education and training of special education teachers under other parts of IDEA. The second indicator, percentage of employed special education teachers who are permanently certified, as a measure of state capacity building effort. A benchmark showing changes in the percentage over a number of years, by state and by specialty is suggested.

Number of Teachers Employed to Serve Students with Disbilities from School Years 1987-1989-90



1.6 **Technical assistance:** Number and types of technical assistance and training resources funded to support Part B programs. Specifically,

-by type of assistance provided (research, training, technical assistance, evaluation, assistive technology)
-by total annual funding level per 100,000 children enrolled
-by professional staff (FTE) employed

**DATA SOURCE:** These data are available from the records of the technical assistance centers and from the branches within OSEP which offer training and technical assistance. Funding for teacher fellowships is reported in the annual report to Congress.

**DISCUSSION:** Data on technical assistance are important indicators of federal resources committed to building state and local capacity to serve students with disabilities and to meet federal requirements. In addition to supplying teacher education and information on compliance, technical resource centers supply information on research findings in the field, and ED supplies technical assistance to states and localities in making annual reports and state and local plans.

Annual funding levels per 100,000 served under Part B should be adjusted for inflation and compared over time as a measure of capacity building effort.

## Process Indicators

**2.1 Student participation:**

2.1a* Number of children with disabilities (birth through 21) enrolled in Part B assisted programs as a percentage of the resident school age population. Specifically,

-by disability
-by age
-by year
-by state

2.1b* Percentage of school days attended by Part B assisted children with disabilities. Specifically,

-by disability
-by learning environment
-by grade, by semester
-by year
-by state

**DATA SOURCE:** OSEP has an extensive list of Child Count Tables showing data on enrollment, which are published in the annual report to Congress. A recent study found that these data had acceptable validity. Local and state annual reports include attendance information.

**DISCUSSION:** Decisions on changes in program coverage and size depend on knowledge of enrollment. Budgetary allocations are also dependent on a child count of students with disabilities enrolled in Part B supported programs on December 1 each year. Changes over time in placement moving toward least restrictive environments is recommended as a benchmark.

Attendance was identified in the Longitudinal Study as one correlate with the drop-out rate. Since a decrease in the drop out rate among students with disabilities is one important goal of the IDEA program, these data can provide an important "early warning" flag for possible trends in the drop-out rate.

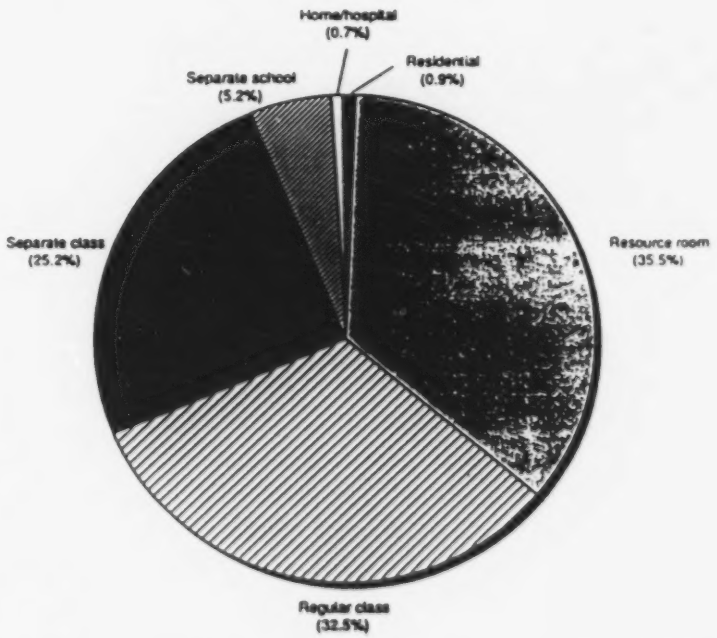
2.2 **Placement by types of services provided**: Type of special services received by children with disabilities under Part B

-by placement
-by disability
-by type of service (educational, other)
-by year
-by state

**DATA SOURCE:** These data are reported annually and published in the annual report to Congress.

**DISCUSSION:** Services offered to students with disabilities in additional to the continuum of educational services include occupational and physical therapy, psychological services, speech and language aides, counseling, transportation, parent counseling and training, social work services, diagnostic evaluations, audiology, and general health services. All of these impact on the students' education. The extent to which services are provided indicates commitment to student welfare.

Percentage of All Students with Disabilities Age 3-21 Served in Six Educational Placements. School Year 1989-1990




Source: Department of Education, Office of Special Education Programs. Data Analysis System (DANS).

2.3 **Coordination of service arrangements:** Number and type of coordination of services arrangements to provide assistance to children with disabilities from other sources

-by level (federal, state, LEA)
-by type of service to be provided
-by year

**DATA SOURCE:** OSEP already reports on federal level inter agency coordination. Some data on coordination is also reported in annual state progress reports and as part of state plan reviews. Special studies may be required to describe the full extent of service coordination within states and localities.

**DISCUSSION:** As originally conceived, OSERS was to provide for a continuum of services through states for persons with disabilities from birth throughout life, including early intervention, education, transition, and work experiences. In addition, services other that educational services, such as counseling and medical care, were to complement special education services. The extent to which this is being accomplished is not clear. These data are important indicators to inform policy makers in designing future legislation at the federal, state, and LEA level, and for assessing the contribution of Part B programs to the entire range of services for persons with disabilities.

As a benchmark for this indicator, the NAPA team suggests concentrating on changes made in increasing the scope and type of services as the primary measure of progress.

**2.4 Monitoring state compliance with federal regulations:**

2.4a Number of complaints filed with ED alleging non-compliance with federal requirements

-by year
-by basis of complaint
-by disposition
-by state

2.4b* Of state plan reviews each year, number and percentage of mandatory federal requirements requiring addition/amending by states prior to final approval

-by requirement
-by year
-by state

2.4c* Number and duration of Part B site monitoring visits conducted by OSEP

-number and duration of site visits conducted by year
-number of OSEP professional staff days allocated to on site compliance monitoring per 10,000 children enrolled in Part B

2.4d Number of specific deficiencies noted in individual case file reviews by OSEP

-by type of deficiency
-by year

2.4e* Commendations included in OSEP compliance monitoring reports on improvements and noteworthy initiatives

-by type of commendation
-by frequency of mention
-by year

**DATA SOURCE:** Data for b), c), and e) are reported annually in the report to Congress based on data from annual reports submitted by the states. Data for a) and d) are available from OSEP records.

**DISCUSSION:** An important assumption on which IDEA legislation is based is that regulations requiring states to monitor local educational entities can help to ensure free appropriate public education in least restrictive environments, as required by federal courts. These data indicate the extent to which federal requirements are being met, and trends in types of non-compliance. They are important in demonstrating progress toward goals, and in identifying areas in which

regulations should be strengthened or changed.

It is very important to note, however, that compliance data gathered at the LEA level including reviews of individual student case files and IEPs should not be treated as based on a random sample. LEAs and case file are frequently selected on the basis of evidence from various sources such as individual complaints, public meetings, OSEP analyses of state reports and other factors which indicate that compliance problems are likely to be present. As a consequence, great care must be taken in using performance indicators involving data from compliance reviews to ensure that the results are presented within the context of the compliance program methodology used by OSEP.

As benchmarks, the NAPA team recommends the use of comparisons of the frequency of mention of specific deficiencies in state plans and in IEPs over relatively long periods of time (e.g. 5, 10, 15 year intervals) and aggregated nationally rather than by individual states in recognition that states are only reviewed every three or four years. OSEP might also consider aggregating compliance data by groupings of states such as predominantly rural and urban, high and low per capita income, and other groupings which would be helpful to the Congress and the public in understanding the challenges faced in managing the Part B program.

A second suggestion is the possible use of a benchmark based on the amount of time required for a state to complete corrective action on a deficiency. In this case time would serve as a proxy for the relative significance of the deficiency involved. The assumption is that a State which can correct all deficiencies within a relatively short period (e.g. six months) of receipt of the final OSEP monitoring report has made relatively more progress in building its capacity for meeting federal requirements than a state which requires 9 months or 12 months to complete all corrective actions. It is also important to remember that the purpose of a performance indicator is to show progress toward goals and objectives; not to provide definitive evidence that a program is effective or as proof of compliance.

2.5 **Financial integrity:** Number of audit report deficiencies requiring corrective action by Part B grantees; specifically

-by year
-by type of deficiency

**DATA SOURCE:** Office of Inspector General and OSERS can provide these data, for some of the states in some years.

**DISCUSSION:** Since this program provides federal funding of almost $2 billion per year which reaches nearly every school district in the country and effects the education of millions of children, proper use of funds is critical. These data are important indicators of the administrative effectiveness of states and of ED's monitoring efforts.

## Outcome Indicators

3.1 **State plan approval:** Number and percentage of state plan compliance reviews resulting in OSEP approval

-by number of reviews resulting in final approval of state policies and practices as complying with federal requirements within 6 and 12 months of report issuance

**DATA SOURCE:** Data available from OSEP files.

**DISCUSSION:** The primary federal role, besides funding, is monitoring states to ensure compliance with federal regulations for FAPE, LRE, and due process. These data indicate the extent to which ED is able to carry out that responsibility, and the extent to which states are complying with their obligations. Full state compliance with all federal requirements without exception at the LEA level is an extremely exacting standard. As a benchmark, the NAPA team suggests compliance within 6 and 12 months of final report issuance.

The quality of OSEP reports to individual states on the results of a review could be considered as another performance indicator. Data on the number of factual errors or omissions in the draft report which require correction could be collected and compared to a rolling average for similar reports as a measure of the significance of the corrected action required for approval.

**3.2 Number and percentage of children with disabilities served in regular classrooms:**

-by type of placement
-by year
-by state

**DATA SOURCE:** Data available from annual state reports and published in the annual report to Congress.

**DISCUSSION:** The regular classroom is assumed to be the least restrictive environment for students with disabilities and the most advantageous placement. General progress over several decades in placing a higher percentage of students in regular classrooms has been viewed as a positive indicator of the success of IDEA in educating children with disabilities. As a benchmark for monitoring trends among states, the national average, currently about 31%, is suggested as a baseline.

It must be recognized that changes in the percentage of students with disabilities served in regular classrooms do not necessarily reflect progress in all cases. Some students may be inappropriately placed in regular classrooms because other settings were not made available. Some states may employ policies which require reporting a lower percentage of students in regular classrooms than is actually the case.

A major assumption of both federal courts and Congress is that placement in the least restrictive environment is essential to maximize the effectiveness of education for students with disabilities. However, the legislation mandates that a full continuum of placement options from placement in regular classrooms with minimal special services, to placement in full-service residential facilities should be available. Number of students, by state, by disability, by type of placement can indicate trends in identification and educational practice and compliance.

Services offered to students with disabilities in addition to the continuum of placement options include occupational and physical therapy, psychological services, speech and language aides, counseling, transportation, parent counseling and training, social work services, diagnostic evaluations, audiology, and general health services. All of these impact on the students' education. The extent to which services are provided indicates commitment to student welfare.

**3.3** **School exiting:** Number and percentage of students with disabilities exiting school

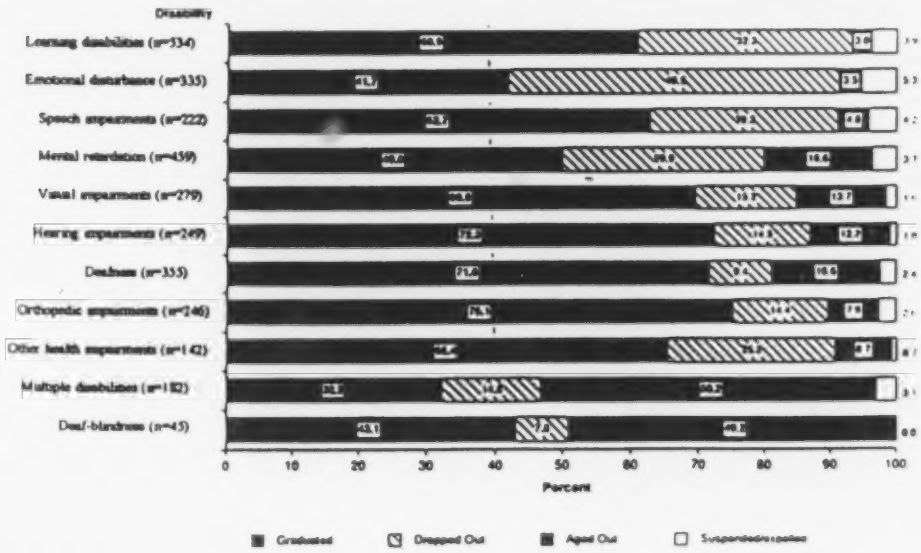
-by cause (drop out, graduation, age limit, other)
-by disability
-by grade
-by year
-by state

[NOTE. OSEP has some national indicators on disabled children 14 years and older based on longitudinal research studies including transition from school to work.]

**DATA SOURCE:** State annual reports provide some data on school exiting results. The NLTS has the most comprehensive data but is limited to a sample of students 14 years and older.

**DISCUSSION:** School exiting results are of widespread interest to the Congress and the public regarding the effectiveness of Part B in assisting children with disabilities. Goals 2000 also places emphasis on successful school to work transition as one of the major goals of American education. As benchmarks for this indicator, OSEP might consider progress in reducing the percentage of children with disabilities who drop out of school before completion of high school over relatively long time periods (e.g. 5 year intervals) by disability category and by state. Similarly, progress over a 5-10 year period in increasing the percentage of students who graduate from high school by disability category, and by state is suggested as a benchmark.

Model of School Leaving of Secondary School Exiters by Disability Category




SOURCE: NLTS parent interviews and students' school records.

**3.4 Academic achievement and functional literacy:**

3.4a Percent of students with disabilities who use and comprehend language that effectively accomplishes the purpose of the communication

-by disability
-by age
-by placement

3.4b Percent of students with disabilities who can demonstrate problem-solving and critical thinking skills

-by disability
-by age
-by placement

3.4c Percent of students with disabilities who demonstrate competence in math, reading and writing respectively, necessary to function

-in current environment
-in next environments
-by disability
-by age
-by placement

**DATA SOURCE:** Special studies will be required to collect data on academic achievement and functional literacy. Some limited data is available on children with disabilities included in longitudinal studies of the general school population such as National Education Longitudinal Study 1988 (NELS 88), and OSEP's NLTS data on 13-21 year-old students with disabilities.

**DISCUSSION:** The academic achievement and functional literacy indicators suggested by the NAPA team are taken from a framework developed by the National Center on Educational Outcomes at the University of Minnesota. Data to support these indicators will require special studies of sufficient scope to provide data for state as well as national estimates. While periodic studies would represent a major step forward in providing outcome indicators of great value, it is recognized that the data is not likely to be available on a regular basis to support use of these indicators each year.

3.5 **School to work transition**: Percentage of students with disabilities exiting school by status

-by disability
-enrolled in postsecondary education
-employed
-living independently

**DATA SOURCE:** The NLTS provides data on school to work transition for a sample of about 8,000 students with disabilities.

**DISCUSSION:** The percentage of students with disabilities who are employed, living independently or pursuing post secondary education are important indicators of success in educating children with disabilities. The baseline percentages in the recently published NLTS report could be used as national benchmarks in comparing results from subsequent studies of this type at the state or national level.

**3.6 Public satisfaction:**

3.6a Issues most frequently mentioned at public meetings and from written comments submitted in conducting state reviews of Part B compliance

-by type of issue and frequency of mention
-by year

3.6b Degree of satisfaction with federal administration of Part B from perspective of

-national/local interest groups
-state elected officials
-state directors of Special Education
-Chief State School Officers
-Congressional staff

**DATA SOURCE:** Data on issues raised at public meetings during on-site monitoring are available in OSEP files. Data on satisfaction with OSEP administration could be gathered through a mail-back survey form attached to distribution copies of the annual report to Congress.

**DISCUSSION:** Changes in the types of issues raised most frequently by the public in conducting compliance reviews is an important guide in judging progress over time in reducing performance problems. Such data are particularly valuable over several years and as national trend data. Because of the infrequency of monitoring reviews, it may have less utility in judging individual state performance.

Periodic sampling of key stakeholders involved with the Individual with Disabilities Education Act regarding changes in opinion on OSEP performance in implementing Part B, for other projects of the act is highly recommended. A short set of questions asking for feedback on OSEPs performance in key activities such as the usefulness of annual reports, effectiveness of the state plan review process and the quality of technical assistance being provided through regional centers could be developed and distributed to selected stakeholders or in tandem with the distribution of the annual report.

**3.7 Client satisfaction:**

3.7a Parent/guardian ratings of overall quality of Individualized Education Program (IEP) in meeting the needs of their children

-by disability
-by grade level of student
-by year

3.7b Student ratings, where possible, of services provided per IEP as most helpful, specifically,

-by disability
-by type of service provided
-by grade level
-by year

**DATA SOURCE:** On site monitoring reviews include case file reviews of a sample of IEPs. Parents and students could be contacted as part of the case file review and asked to respond to a standard set of questions to elicit feedback on their overall satisfaction with the IEP as a proxy for the Part B program.

**DISCUSSION:** Direct feedback from students and their parents would provide an extremely valuable source of data over time for measuring changes in the evaluation of the overall performance of the program using the IEP as a proxy.

In evaluating the use of this indicator, the non-random process used by OSEP in selecting case files and IEPs for review must be considered. Since data to support this indicator would be aggregated at the national level only, it may be possible for OSEP to designate one or more randomly selected LEAs as part of the monitoring plan for each state and restrict the data collection for this indicator to parents and students from that locale. We also suggest the use of general, open-ended questions such as "most useful/least useful" services and reliance on data of a more qualitative nature from clients which could be collected over several years, from various states and locales, to provide important contextual feedback on the performance of Part B from the client perspective. Such data would be especially useful as a supplement to the current data presented in the annual report to Congress.

This information may be most helpful at the national level in assessing national trends based on interviews with parents and students from many states and over the period of several years.

# APPENDIX B

# CONTEXT VARIABLES

## Context Variables

CV.1 **Estimate of "at risk" children:** Total estimated number and percentage of school age children classified as educationally "at risk"

-by category of risk (poverty, homeless, limited English proficiency, disability, migratory status, other)
-by year
-by state

**DATA SOURCE:** These data are available from NCES in *The Condition of Education* annually and from the National Education Longitudinal Study of 1988.

**DISCUSSION:** One of the central concerns of the federal government is to ensure the needs of children who are disadvantaged by reason of economic status, language proficiency and other causes are provided with special services. The same child may be affected by several categories of disadvantagement and it is important that changes in the size and characteristics of the "at risk" student population be monitored at the national, state and LEA levels in planning education programs and services.

**CV.2 Child health conditions:**

CV.2a Estimated number and percentage of new borns with low birth weight

-by year
-by state

CV.2b Estimated number and percentage of two-year olds not immunized against child diseases
-by year
-by state

**DATA SOURCE:** Data for a) are available from National Center for Health Statistics, Monthly Vital Statistics Report. Data for b) are available from U.S. Center for Disease Control, U.S. Immunization Survey.

**DISCUSSION:** A baby's birth weight is a broadly used international indicator of an infant's ability to survive and develop. Low birth weight babies have a much higher probability of later being afflicted with learning related disabilities. Similarly, immunization of children by age two against common early childhood diseases reduces significantly the probability of learning disabilities related to those diseases.

CV.3 **Maternal health:** Estimated number and percentage of women of child bearing age participating in or affected by practices which contribute to disabilities in children

-by activity (cigarettes, alcohol abuse, drug abuse, other)
-by year
-by state

**DATA SOURCE:** These data are available from the National Institute on Drug Abuse, National Household Survey on Drug Abuse.

**DISCUSSION:** Changes in health related practices of mothers has an important impact on the number and types of disabilities their children are likely to experience. Drug use, particularly cocaine, by mothers during pregnancy is of major concern.

CV.4 **Assistance from other programs:** Estimated number of children with disabilities (birth through 21) assisted through other federal programs

-other ED programs (RSA, Title VII, ESEA, other)
-other agency programs (HHS, DOL, USDA)

**DATA SOURCE:** These data are available in the Federal Budget, annual reports, and the *Catalog of Federal Domestic Assistance*.

**DISCUSSION:** It is important to highlight the many sources of assistance to children with disabilities including programs operated by other components of ED and federal departments and agencies. Of special interest are Head Start (HHS), the Women, Infant and Children (WIC) screening and supplemental feeding program (USDA), Community Health Centers (HHS), Employment and Training Services (DOL), and Job Corps (DOL). Within ED, Rehabilitative Services Administration, National Educational Institute for the Deaf, Gallaudet University, American Printing House for the Blind, Elementary and Secondary Education Act, and Title VII merit high priority to ensure effective coordination of service is promoted at the local delivery level.

CV.5 **Membership in voluntary organizations:** Membership of national and state level voluntary organizations which promote development and well being of children with disabilities

-by interest area
-by membership
-by year

**DATA SOURCE:** These data are available from annual reports and/or membership reports of national and state level organizations.

**DISCUSSION:** The Individuals with Disabilities Education Act specifically requires regular consultation with individuals and organizations involved in the welfare of persons with disabilities. The number of such organizations has grown substantially over the past two decades as a reflection of public interest and federal legislative initiatives to ensure that the rights of persons with disabilities are protected. Information on growth in the number of organizations and their areas of particular interest is important in planning OSEP's work programs.

## APPENDIX C

## LITERATURE REVIEWED,

## DATA SOURCES,

## PEOPLE INTERVIEWED,

## PARTICIPANTS IN STAKEHOLDERS' MEETING

## LITERATURE REVIEWED


Alexander, K. & Alexander, M. D. 1985. *American Public School Law*. New York: West Publishing Company.

This volume contains information on legal cases involving school issues, including those which deal with students with disabilities. It includes summaries of the decisions in the major cases defining students' with disabilities right to free appropriate public educations in the least restrictive environment, and the states' rights to define standards of service delivery. It also contains several summaries of cases dealing with due process issues for students with disabilities.

Assistance to States for the Education of Children with Disabilities Program and Preschool Grants for Children with Disabilities [34 CFR300-301], *Federal Register*, 57(182), September 29, 1992, pp. 44794-44811 and 44831-44852.

This publication contains announcement of ED's final rules concerning IDEA, Part B, 1990 and 1991 amendments. It is interesting to note that the article includes comment that there were 280 responses to the notice of proposed rule making.

Assistance to States for Education of Children with Disabilities Program and Preschool Grants for Children with Disabilities [34CFR300-301], *Federal Register*, 57(208), October 27, 1992, pp. 48694-48704.

Technical errors in the September 29, 1992, announcement were corrected in this issue.

Brogdon, R. E. Darlene's Story: When Standards Can Hurt, *Educational Leadership, 50(5)*, February, 1993, pp. 76-77.

This article deals with the delicate balance between setting academic standards and penalizing students with disabilities. It gives background information on questions and concerns of parents, students, and advocacy groups in determining success indicators for special education students.

Early Education Program for Children With Disabilities, Proposed Funding Priorities, *Federal Register, 58(119)*, June 23, 1993, pp. 34178-34181.

This announcement proposes priorities for programs for young children with disabilities. The proposed priorities include demonstration projects, outreach projects, model inservice training projects, and a research institute to identify barriers to integration of children with disabilities into the general school setting. These programs are funded in part under Part B.

Individuals with Disabilities Education Act: Chapter 33--Education of Individuals with Disabilities [20 USC] Washington, D. C.: LRP Publications, 1992.

The complete IDEA, Part B legislation is included in this publication. The legislation details provisions for funding, and requirements that states monitor LEAs and IEUs for provision of free appropriate public education in least restrictive environments.

NASDSE Statement to the House Select Committee on Narcotics Abuse Control, *Liaison Bulletin, 18(2)*, January 1992, pp. 6-7.

This article in the bulletin of the National Association of State Directors of Special Education outlines the growth in the number of children with disabilities expected as a result of maternal drug use, and outlines strategies and resources necessary to deal with the resulting impending crisis in American education.

Program for Children with Severe Disabilities, *Federal Register (58)119*, June 23, 1993, pp. 34188-34192.

This announcement contains funding priorities for research programs dealing with children with severe disabilities including research on inclusive settings, model inservice training projects, general education settings, statewide systemic change, and implementation of education in inclusive settings. These will be the research priorities funded by OSEP in 1994-95.

Schrag, J. A. Director, OSEP. IDEA-Part B State Plan and Preschool Grants Application Requirements for FY 1994 (ie. Grant Period Beginning July 1, 1993) (Memo to Chief State School Officers from U. S. Department of Education, November 1992.)

> Information on new State Plan requirements and procedures, other requirements and procedures, state plan requirements that must be met by that group of states filing in 1993, and pre-school grant requirements is contained in this memorandum. State Plan applications are in a three year cycle. This memo contains special instructions and forms to be used by those states submitting plans this year. The number of elements in the document highlight the complexity of the law.

Schrag, Judy. October 26, 1992. Data Reports for the 1992-93 School Year. (U. S. Department of Education, OSEP memorandum to Chief State School Officers OSEP 93-1).

> This document contains the instructions and forms on which the states report data necessary for the annual report to Congress. The forms are divided into four basic categories: report of eligible children with disabilities in agencies supported by the states, reports of children receiving special education under Part B, personnel and student counts, and Chapter I requirements. The data includes quite a comprehensive picture of the state programs.

Schrag, Judy. January 1993. Office of Special Education Programs Final Monitoring Report 1991 Review of Ohio Department of Education. Washington, D. C.: U. S. Department of Education.

> This report contains commendations and findings of noncompliance in preparation of IEPs, in procedural safeguards, in FAPE, and in state review of local grant applications and state monitoring of local educational agencies. It also contains required corrective actions and revisions made to the original report in response to the state's additional information. It can be used as an example of the nature of state reports. State reports become public documents once they are finalized.

Services for Children with Deaf-Blindness Program: Proposed Funding Priorities, *Federal Register, 58(119)*, June 23, 1993, pp. 34174-34176.

> This announcement sets the priorities for research validation and implementation projects for children who are deaf-blind for 1994-95. These projects are funded in part under Part B.

Slavin, R. E., Karweit, N. L., & Waslik, B. A. Preventing Early School Failure: What Works, *Educational Leadership, 50*(4), December 1992/January 1993, pp. 10-18.

This article deals with the causes of disability and referral to special education, the problems faced in exiting special education once a student is classified, and attempts to use early intervention strategies to prepare students (especially those whose developmental delays have to do with prenatal drug use) to enter early grades on a par with their peers.

Tan, A. & Madaus, G. 1993. The Growth of Assessment, in (Cawelti, G. ed.) *Challenges and Achievements of American Education*. Alexandria, VA: Association of Supervision and Curriculum Development. pp. 53-79.

The authors of this article discuss the changes in assessment procedures in American education since the 1800s. Included is discussion of testing to determine the nature and extent of children's disabilities, and the appropriateness of using general assessment instruments for these children.

U. S. Department of Education, OSERS/OSEP. January 1992. Office of Special Education Programs. (Unpublished internal document concerning program and functions)

This document includes a mission statement which specifically notes that OSEP's mission includes communicating federal policy, administering federal grants, fostering research, training, etc., evaluating and monitoring programs, and coordinating with other federal agencies. Five divisions are included: Assistance to States Division, Innovation and Development Division, Program Analysis and Planning Division, Personnel Preparation Division, and Educational Services Division. Within these divisions, branches and their specific functions are detailed.

U. S. Department of Education. November 3, 1992. Individuals with Disabilities Education Act: Program-Funded Activities, Fiscal Year 1992. OSERS/OSEP.

This document includes information on programs and budgets on grant and contract projects under IDEA and ESEA. FY 1992 appropriation was $2.85 billion, of which 92% ($2.61 billion) was awarded through formula grants. Of this, Part B State Grants were ($1.98 billion).

U. S. Department of Education. April 27, 1993. 1993-94 Monitoring Academy (Unpublished workbook by OSEP).

Designed for use in training monitors, this workbook includes comprehensive lists of activities, documents which should be available from the states either before or during the visit, procedures which should be carried out by LEAs and states, and extensive checklists

to be used to describe SEA and LEA activities.

U. S. Department of Education, Office of Special Education and Rehabilitative Services. June 1992. Individuals with Disabilities Education Act, *Summary of Existing Legislation Affecting People with Disabilities*. Washington, D.C.

This article contains a summary of the provisions of this legislation. Included is the purpose of providing "free appropriate public education" and "related services" (transportation, supportive services, etc.) to all individuals with disabilities from ages 3 through 21 years. This legislation works in coordination with Title I of the ESEA.

U. S. Department of Education. 1992 *"To Assure the Free Appropriate Public Education of All Children With Disabilities: Fourteenth Annual Report to Congress on the Implementation of The Individuals with Disabilities Education Act.* Washington, D.C.

Data and analysis on students served, variation in placements, special studies including the transitional study, personnel supply and demand, funding, and federal monitoring efforts in 1989-90 are contained in this report to congress and the public.

U. S. Department of Education. 1989 *"To Assure the Free Appropriate Public Education of all Handicapped Children": Eleventh Annual Report to Congress on the Implementation of The Education of the Handicapped Act.* Washington, D.C.

This report contains data and analysis on students served, variation in placements, special studies including the transitional study, personnel supply and demand, funding, and federal monitoring efforts in 1987-88.

U. S. Department of Education. 1988 *"To Assure the Free Appropriate Public Education of all Handicapped Children": Tenth Annual Report to Congress on the Implementation of The Education of the Handicapped Act.* Washington, D.C.

Like the reports listed above, this report contains data and analysis on students served, variation in placements, special studies including the transitional study, personnel supply and demand, funding, and federal monitoring efforts in 1986-87.

U. S. Department of Health, Education, and Welfare. January 1979. *Progress Toward a Free Appropriate Public Education: A Report to Congress on the Implementation of Public Law 94-142: The Education for All Handicapped Children Act.* Washington, D. C.

This report contains data and analysis on the population served by the program, the settings in which they are served, the services provided, the administrative methods for ensuring proper service and identification and classification, the financial and other consequences of implementation of the legislation, and the extent to which the provisions of the act were being met in 1977-78. It also contains information on research program connected with special education funded by the department.

United States General Accounting Office. November 1989. *Department of Education: Management of the Office of Special Education and Rehabilitative Services* [GAO/HRD-92-21BR]. Washington, D. C.

GAO is highly critical of OSERS management up to 1989 in not setting clear mission and goals and not monitoring progress in areas funded through federal grants. The report cites that formula grants of $3.3 billion were given in 1989. It also notes that ED officials cited lack of travel funds and staff shortage as reasons for not making sufficient monitoring visits. Also cited is the long time period between monitoring visits and transmittal of final findings to the states. The report contains statistics about OSER's staff levels.

Wagner, M., D'Amico, R., Marder, C., Newman, L. & Blackorby, J. December 1992. *What Happens Next? Trends in Postschool Outcomes of Youth With Disabilities: The Second Comprehensive Report from the National Longitudinal Transition Study of Special Education Students* (Report prepared for OSEP under Contract 300-87-0054). Menlo Park, CA.: SRI International.

Data and analysis of part of the data gathered from a study of 8,000 students with disabilities in the longitudinal transitional study is included in this report. This document contains information on the postschool outcomes for those who had exited school in 1987. It documents that youth with disabilities who drop out of school are not as likely as their non-disabled counterparts to return to school, but that there has been a significant improvement in their ability to gain employment, and a marked increase in their ability to live in independent situations. The report also concerns data and discussion of trends related to type of disability, gender, ethnicity, and family income.

Wagner, M., Newman, L., D'Amico, R., Jay, E. D., Butler-Nalin, P., Marder, C., & Cox, R. September 1991. *Youth With Disabilities: How Are They Doing? The First Comprehensive Report from the National Longitudinal Transition Study of Special Education Students* (Report prepared for the U. S. Department of Education under Contract 300-87-0054). Menlo Park, CA: SRI International.

This is a comprehensive report based on survey data about individual youths ages 13-21 who are classified as disabled. It includes information on their demographic characteristics, their types of disabilities, and their experiences in school, the work place, social and home situations. This is part of a study which will follow these students to determine factors in the transition from school to work or other adult activities. Many possibilities for indicators are included, with the caution that students' range of disabilities is so large that data must be disaggregated by general category of disability. Although the report does indicate some links between experiences and outcomes, it is generally descriptive and does not include cause/effect relationships or suggestions for systemic change.

Ysseldyke, J. E., Thurlow, M. L., & Gilman, C. J. in collaboration with National Association of State Directors of Special Education. January 1993. *Educational Outcomes and Indicators for Students Completing School*. (Minneapolis, MN: National Center for Educational Outcomes, The College of Education, University of Minnesota).

While prepared with special education students in mind, the model of outcomes in this booklet is appropriate to all students. Indicators are grouped into eight domains, and examples of data sources for a few indicators are included. Although included in the conceptual model, context, input, and process indicators are not specifically defined. The report includes suggested indicators for use upon school completion only, although the authors note that indicators for other levels are being developed. In addition to indicators of academic achievement and school experiences, the report includes indicators of all aspects of personal development.

## DATA SOURCES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Wagner, M., Newman, L., D'Amico, R., Jay, E. D., Butler-Nalin, P., Marder, C., & Cox, R. September 1991. *Youth With Disabilities: How Are They Doing? The First Comprehensive Report from the National Longitudinal Transition Study of Special Education Students* (Report prepared for the U. S. Department of Education under Contract 300-87-0054). Menlo Park, CA: SRI International.

## PERSONS INTERVIEWED

**Richard Baldwin**, Director
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**Claudia Brewster**
Program Review Branch

**Jim Button**
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ED/
Budget

**Gregory Corr**
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**Lou Danielson,** Chief
Special Studies Branch

**Wayne Erickson,** Manager
Unique Learner Needs Section
Minnesota

**Tom Irvin**, Director
Division of Assistance to States

**Rebecca Fitch**
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Policy & Planning Staff

**Patricia Guard,** Acting Director
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**Gerri Hawkins**
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**Dawn Hunter,** Chief
Personnel Preparation Branch

**Nancy Jenkins**
Division of Assistance to States

**Dennis Kane,** External Manager
Family & Education Support
Vermont

**Robert Kennedy,** Director
Special Education
New Hampshire

**Stevan Kukic,** State Director
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Utah

**Persons Interviewed** - continued

**Charles Laster**
Program Review Branch

**John Murphy**
ED
Finance

**Ken Olson**
Technical Assistance Specialist
Mid-South Regional Resource Center

**Joan Pine**
Program Review Branch

**Andrew Pepin,** Acting Deputy Assist
Secretary
OSERS

**JoLeta Reynolds,** Acting Deputy Director
OSEP

**Larry Ringer**
Division of Assistance to States

**Ruth Ryder,** Chief
Program Review Branch

**Kenneth Warlick,**
Association Commissioner
Special Instruction Services
Kentucky

**Larry Wexler**
Program Review Branch

## PERSONS INVITED TO STAKEHOLDERS' MEETING
August , 1993

**Aime Amiot**
American Speech & Hearing Assoc

**Lisa Baach**
SAFE

**Joe Ballard**
Council for Exceptional Children

**Nancy Bloch**
National Association of the Deaf

**Jim Button**
OSERS
Policy Planning Staff

**Carol Cichowski**
OSERS
Budget

**Lou Danielson,** Chief
Special Studies Branch

**Kevin Dwyer**
National Assoc. of School Psychologists

**Tom Irvin,** Director
Division of Assistance to States

**Martha Fields,** Executive Director
National Assoc. of State Directors of Special Education

**Rebecca Fitch**
OSERS
Policy & Planning Staff

**Patricia Guard,** Acting Director
OSEP

**Spencer Herold**
Student

**Barbara Huff**
Federation of Families for Children's Mental Health

**William Jones**
American Assoc. of University Affiliated Programs for Persons w/Developmental Disabilities

**Justine Maloney**
Learning Disabilities Association

**Paul Marchand**
The Arc

**Stakeholders' Meeting Invitees** - continued

**Kathleen McGivern**
Assoc. of Ed. & Rehabilitation of
the Blind & Visually Impaired

**Celane McWhorter**
Assoc. for Persons with Severe
Disabilities

**Thomas O'Toole**
Special Education & Related Services
Montgomery County Schools

**JoLeta Reynolds,**
Acting Deputy Director
OSEP

**Ro yn Rosen,** President
National Association of the Deaf

**Patty Green-Roth**
United Cerebral Palsy Association

**Ruth Ryder,** Chief
Program Review Branch

**Patty Smith**
National Parent Network on Disabled

**Vicki Smith**
National Assoc. of Protection &
Advocacy Systems

**Austin Tuning**
Director of VA Special Ed Agency
Representing National Assoc. of State
Directors of Special Education

**Richard Yep**
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